

An Instructor's Guide for the Building and Sustaining Foreign Counterpart Organizations Curriculum



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for the Behavioral and Social Sciences**

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AN INSTRUCTOR'S GUIDE FOR THE BUILDING AND SUSTAINING FOREIGN COUNTERPART ORGANIZATIONS CURRICULUM

CONTENTS

	Page
INTRODUCTION	1
Background	1
Format of Curriculum	2
Video Curriculum Outline	2
Video Support	3
Playing the Video Disc	3
Curriculum Format	6
Strategies to Promote Classroom Participation	6
Module Outline in Terms of Time Allotment	8
TRAINING DELIVERY	9
Introduction	9
Module 1: Organizational Change In Non-Western Cultures	10
Lesson 1: Instructor's Notes	10
Lesson 2: Instructor's Notes	15
Module 2: Building Relationships That Promote Change	17
Lesson 1: Instructor's Notes	17
Lesson 2: Instructor's Notes	19
Lesson 3: Instructor's Notes	21
Module 3: Collaboration Through Appreciative Inquiry	24
Lesson 1: Instructor's Notes	24
Lesson 2: Instructor's Notes	26
Lesson 3: Instructor's Notes	28
Lesson 4: Instructor's Notes	32

CONTENTS (continued)

	Page
Module 4: Leading From Behind: Key For Sustainable Change	35
Lesson 1: Instructor's Notes	35
Lesson 2: Instructor's Notes	37
Lesson 3: Instructor's Notes	40
Curriculum Review: Final Activity For Curriculum	42
REFERENCES	44

APPENDICES

APPENDIX A. ORGANIZATIONAL CHANGE MODULE OVERVIEW	A-1
APPENDIX B. FURTHER READING.....	B-1
APPENDIX C. GLOSSARY	C-1
APPENDIX D. VIDEO CONSULTANTS' BIOGRAPHICAL INFORMATION	D-1
APPENDIX E. UNIVERSALISM VERSUS PARTICULARISM (RULES VS. RELATIONSHIPS) WORKSHEET	E-1
APPENDIX F. FOR/WITH/BY THEORIES OF INTERNATIONAL DEVELOPMENT	F-1
APPENDIX G. WHAT IS APPRECIATIVE INQUIRY?	G-1
APPENDIX H. THE FOUR DS: DISCOVER, DESIGN, DREAM, DELIVER... ..	H-1
APPENDIX I. CRAFTING APPRECIATIVE QUESTIONS GUIDE AND EXAMPLES.....	I-1
APPENDIX J. POSITIVE AND NEGATIVE QUESTIONS	J-1
APPENDIX K. APPRECIATIVE INQUIRY: HOW AND WHY QUESTIONS	K-1
APPENDIX L. PROBLEM-CENTERED VS. STRENGTHS-CENTERED CONVERSATION SCRIPT.....	L-1
APPENDIX M. ROLE-PLAY ROLES	M-1

CONTENTS (continued)

	Page
APPENDIX N. LADDER OF INFERENCE	N-1
APPENDIX O. OBJECTIVES VERSUS OUTPUTS VERSUS OUTCOMES	O-1
APPENDIX P. QUALITATIVE AND QUANTITATIVE METRICS.....	P-1
APPENDIX Q. CRITICAL INCIDENT SCRIPT.....	Q-1
APPENDIX R. EFFECTIVE AND INEFFECTIVE ATTITUDES WORKSHEET	R-1

FIGURES

FIGURE 1. SCREEN SNAPSHOT OF THE CURRICULUM DISC'S MAIN MENU.....	4
FIGURE 2. THE CURRICULUM VIDEO DISC DIRECTORY.....	4
FIGURE 3. THE CONTENTS OF THE VIDEO_TS FOLDER.....	5
FIGURE 4. THEORIES OF INTERNATIONAL DEVELOPMENT.....	22
FIGURE 5. EFFECTIVE AND INEFFECTIVE ATTITUDES AND STRATEGIES REFERENCE CHART.....	44

An Instructor's Guide for the Building and Sustaining Foreign Counterpart Organizations Curriculum

Introduction

The role of military advisors is a key component of the overall long-term strategy of military transition activities (U.S. Department of Defense, 2010). U.S. military trainers and advisors provide a crucial link between host nation forces and the forces, agencies, organizations, and institutions supporting the broader stability effort (U.S. Department of the Army, 2014). Improving cross-cultural competencies and communication should improve the effectiveness of military advising, and help leaders functioning as advisors better achieve the military's broad goals of counterinsurgency and transition (U.S. Department of Defense, 2010).

This curriculum is intended for military or civilian leaders performing advisory functions with host nation counterparts. This curriculum uses the term 'advisor' to mean any leader who will work with a host nation counterpart to help build that individual's organization for the purpose of long-term improvement and sustainment. The curriculum will help those individuals serving as advisors **develop their interpersonal advising and organizational change-related skills**. Because so much of the advising done by U.S. military leaders is in collectivist contexts, the curriculum will emphasize cultural and communicative dynamics important for collectivist cultures.

Background

In an era of persistent conflict, leaders will increasingly call on stability operations to reduce drivers of conflict and instability and build local institutional capacity. The present effort began with research aimed at uncovering successful strategies and best practices for building and sustaining foreign organizations. Strategies were derived from the military and academic literature, and from interviews conducted with subject matter experts (SMEs) from four different groups: military personnel with experience advising cross-culturally for organizational support, organizational change experts, cross-cultural psychology and international business experts, and host nation counterparts involved in cross-cultural organizational support efforts. These activities led to the identification of four broad areas of proficiency necessary for U.S. personnel advising cross-culturally on efforts to build and sustain foreign organizations. The areas for study included: (1) organizational change processes in collectivist contexts; (2) effective relationship-building with counterparts and their organizations; (3) learning about relevant contexts – human, cultural, and organizational; and (4) "leading from behind," advisor strategies which ensure that host nation counterparts lead the build and sustain change processes. A curriculum was then created to provide instruction on each of these four areas.

The present curriculum utilizes advising strategies that are thought to be effective *in the field*. In particular, the curriculum addresses intercultural dynamics and strategies that work in collectivist cultures where U.S. military advisors and other senior U.S. government leaders are likely to be assigned. Based on the review of literature and feedback from SMEs, a strengths-

based method of inquiry is employed as a centerpiece of the curriculum. This approach has been shown to increase buy-in among counterparts and to facilitate nation-led solutions to identified problems. It is important to note that examples used in this curriculum are based on real stories from the interviewees or a mix of several stories. For more information on the development of the curriculum please refer to ARI Technical Report, "Development and Evaluation of Training to Build and Sustain Foreign Counterpart Organizations."

Format of the Curriculum

The curriculum consists of

- instructor-led components
- a series of short videos that are comprised of a narrator and three subject matter experts
- true stories from the field taken from former advisors' years of experience
- illustrative materials, such as appendices that provide additional information and student handouts
- a dramatic role-play
- a critical incident depicting a U.S. Lieutenant Colonel using strategies such as appreciative inquiry to influence change with a host nation General from a collectivist culture

This curriculum is comprised of four separate modules. Based on an evaluation of the curriculum it was determined the curriculum was most effective when the modules were taught in sequence and as an entire unit; therefore we recommend the modules be taught as a unit and completed in order. Each video is designed to be played from start to finish, with classroom discussion/activities before or after the completion of the video. If you complete only the videos and a few of the discussion questions this training can be completed in two hours (two 50-minute blocks); however, this approach reduces the chances of important material being retained. For maximum effectiveness, we recommend choosing some of the discussion questions and activities, as well as the review at the end, using four 50-minute blocks to complete the training. If time limitations exist, instructors should retain Module 1, which contains foundational material for the remaining modules, and Module 3, which teaches key skills needed to complete Module 4.

Video Curriculum Outline

Module 1: Organizational Change in Non-Western Cultures

Lesson 1: Introduction to Host Nation Organizational Change

Lesson 2: Understanding the Terrain: Learning about Contexts of Foreign Organizations

Module 2: Building Relationships that Promote Change

Lesson 1: Relationship-building

Lesson 2: Troubleshooting Relationships

Lesson 3: Creating Sustainable Relationships

Module 3: Collaboration through Appreciative Inquiry

Lesson 1: Introduction to Appreciative Inquiry

Lesson 2: From Dream to Design

Lesson 3: Problem-centered vs. Strengths-centered Conversations: A Dramatic Role-Play

Lesson 4: Check Your Thinking

Module 4: Lead from Behind: Key for Sustainable Change

Lesson 1: Building Ownership

Lesson 2: Implementing, Monitoring, and Sustaining Change

Lesson 3: Critical Incident: From Planning to Execution

Video Support

Overview and module summaries can be found in Appendix A. Overviews and summaries can be used to reinforce learning, and may be built into your teaching if time permits. For example, you may wish to use the overview to prepare your students to watch video segments. The summaries are best used after students have watched the video as a review of what was learned. However, a very experienced class may find summaries redundant so you may not choose to use them.

Playing the Video Disc

This guide should be accompanied by a video disc. The disc contains all the video segments discussed throughout this guide. Insert the disc in a standalone DVD player or a computer's DVD player. The screen snapshot in Figure 1 should appear when the equipment autoplays the disc.

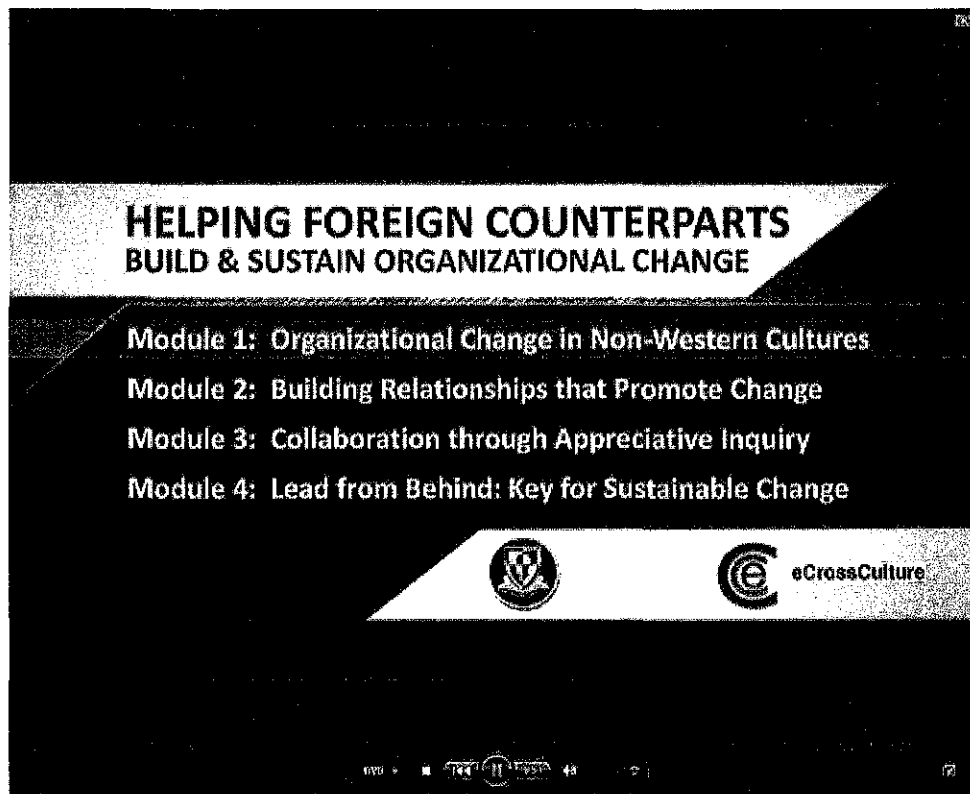


Figure 1. Screen snapshot of the curriculum disc's main menu.

If you are using a computer DVD player to play the disc and the screen snapshot in Figure 1 does *not* appear, it may be because your computer is not configured to autoplay DVD discs. In this case, you will need to manually start the video from a computer file on the disc. First, view the contents of the disc. A view of the disc directory is shown in Figure 2.

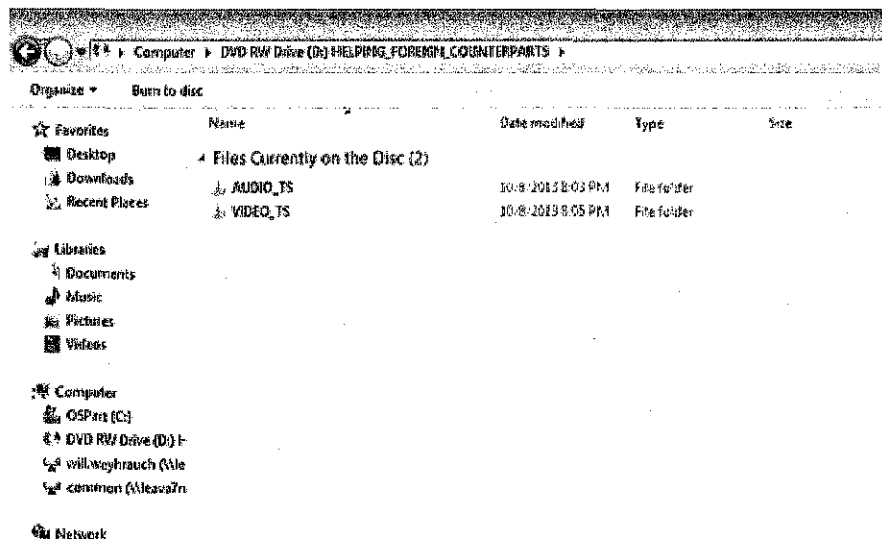


Figure 2: The curriculum video disc directory.

There will be two folders on the video disc: (1) AUDIO_TS and (2) VIDEO_TS. Double click the VIDEO_TS folder to expand it. A screen snapshot of the result is shown in Figure 3.

Name	Date modified	Type	Size
Files Currently on the Disc (43)			
VIDEO_TS.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VIDEO_TS.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VIDEO_TS	10/8/2003 8:05 PM	VOB File	114 KB
VTS_01_0.BUP	10/8/2003 8:05 PM	BUP File	24 KB
VTS_01_0.IFO	10/8/2003 8:05 PM	IFO File	24 KB
VTS_01_0	10/8/2003 8:05 PM	VOB File	712 KB
VTS_01_1	10/8/2003 8:05 PM	VOB File	357,036 KB
VTS_02_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_02_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VTS_02_0	10/8/2003 8:05 PM	VOB File	114 KB
VTS_02_1	10/8/2003 8:05 PM	VOB File	355,836 KB
VTS_03_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_03_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VTS_03_0	10/8/2003 8:05 PM	VOB File	114 KB
VTS_03_1	10/8/2003 8:05 PM	VOB File	459,598 KB
VTS_04_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_04_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VTS_04_0	10/8/2003 8:05 PM	VOB File	114 KB
VTS_04_1	10/8/2003 8:05 PM	VOB File	354,304 KB
VTS_05_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_05_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VTS_05_0	10/8/2003 8:05 PM	VOB File	114 KB
VTS_05_1	10/8/2003 8:05 PM	VOB File	453,598 KB
VTS_06_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_06_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VTS_06_0	10/8/2003 8:05 PM	VOB File	114 KB
VTS_06_1	10/8/2003 8:05 PM	VOB File	370,774 KB
VTS_07_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_07_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VTS_07_0	10/8/2003 8:05 PM	VOB File	114 KB
VTS_07_1	10/8/2003 8:05 PM	VOB File	463,062 KB
VTS_08_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_08_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB
VTS_08_0	10/8/2003 8:05 PM	VOB File	114 KB
VTS_08_1	10/8/2003 8:05 PM	VOB File	408,330 KB
VTS_09_0.BUP	10/8/2003 8:05 PM	BUP File	20 KB
VTS_09_0.IFO	10/8/2003 8:05 PM	IFO File	20 KB

43 items

Figure 3: The contents of the VIDEO_TS folder.

The file named "VIDEO_TS" in this "VIDEO_TS" folder is responsible for presenting the video's main menu. This file is the third one from the top, as shown in Figure 3. It is 114 Kbytes in length and has a "VOB" file extension. Right click this VIDEO_TS file to present a popup menu, select "Play," and the main menu shown in Figure 1 should appear. The videos are now ready to be viewed.

Curriculum Format

This is a *video- and discussion-based* curriculum meant not only to inform future advisors about how to work more effectively with counterparts, but also to promote critical thinking skills, group discussion, and class participation. Depending on training time, you can lead short or long group discussions about the topics addressed. The purpose of the Instructor's Guide is to help you close the gap between what your students already know and what they need to learn about organizational change in non-Western cultures.

In this Instructor's Guide, a variety of questions and short activities are provided for you to promote group discussion. There are also key points that will help cement the learning for your students that you should reinforce in every module. Before teaching the module, remember to discuss the relevance of the module, as well as clarify how the module connects to the overall curricular goals. It is also beneficial to share your own story or another example if it fits with the teaching objectives.

This curriculum allows you to use the power of several media to close the learning gap, including video, interactive activities, small and large group discussions, and student reflection. It is through mixing these media that most learning will occur. The videos provide the content for the course while the other elements help students contextualize, reflect, and build on what they learn from the videos.

There are emblems throughout this document to denote these specific types of media. They are included as easily recognizable cueing mechanisms, and are shown below.



Video



Discussion



Activity

Strategies to Promote Classroom Participation

When leading the discussions try to (1) find meaningful links and connections between student responses, (2) give brief, encouraging feedback, and (3) elicit responses from quieter group members. Discussion Questions generally fall into one of three categories: *Review*, *Experiential*, and *Practice*.

A Review Question asks students to retrieve/review important points:
What did you learn from this section? What stood out for you?

An Experiential Question asks students to connect information with experience:
Has anyone experienced this type of cross-cultural situation when you were an advisor/in-country? How did you deal with the situation?

A Practice Question asks students to use new information in a practical way:
How could you use this information in-country? What are some strategies you could develop to work with a counterpart as a result of knowing this information?

How you conduct classroom discussions will be impacted by the size and nature of your group. Variety in discussion modalities is often welcome, so you may want to experiment with some of the strategies outlined below.

Pair Shares. Have students turn to the person next to them to discuss what they learned in a video or their ideas about strategies to deal with a certain type of situation. Students share with each other for a certain amount of time (e.g., 2-5 minutes), and then share their ideas with the entire group. This method is ideal for the very beginning of a class when students are hesitant to speak up. You may want to choose pair share exercises in order to get the students to feel comfortable talking among themselves. This way, you have a greater chance of participation when students are asked to speak in front of the entire class. Further, if you are discussing a controversial topic, you might want to use a pair share type exercise to help people feel more at ease.

Small Group Discussion. Have students get in groups of three or four people and brainstorm the answer to a question or learning task, and then share their ideas with the larger group. Small group discussions take more time, but often lead to better and more critical discussions during large group sharing time. It is good to walk around and listen in on small group discussions to check if students are on-task or if they have any questions about the activity.

Large Group Discussion. This can be an effective strategy for encouraging participation by students, particularly if the group tends to be outspoken and willing to discuss ideas freely. Several group discussion questions are included in this manual – a few for each topic in the curriculum. You may pick and choose the questions that seem most relevant to your group, or create questions of your own.

“Popcorn” Large Group Sharing. This is an informal and slightly different way to encourage participation from the group. The goal here is to gather many short answers from students in a small amount of time. Rather than asking students for lengthy comments or opinions, you are asking them to sum up their learning very succinctly in one or two sentences or a short phrase. Popcorn sharing sessions are useful when you are finishing up a topic or module. Instead of you, the instructor, giving a summary, you are involving students in their own learning by asking them to do the summing up.

When using this method, you may want to ask a question of the class and then give them one minute to write their answer. When time is up, ask for volunteers to share short answers. If no hands are raised, point to a student who looks like they might want to share and ask them to read out their one-word or one-sentence answer. Then point to another student, and another, until you have taken four or five quick shares (or more, if time allows and the class is engaged). Again, try to include a diversity of students, and try not to call on quieter students if

they seem uncomfortable with sharing their viewpoints. However, the less vocal students may be more comfortable with these short shares, so you may want to tactfully call on them (for example, "Would you like to share?"). If time is short, you can skip having students write their answer first.

Module Outline in Terms of Time Allotment

The ideal length of time for learning this curriculum is four hours or four 50-minute blocks of instruction, which permits additional time for discussion and exercises. It also allows for re-viewing parts of the videos. However, if time is constrained, the curriculum can be taught in two hours (two 50-minute blocks) if the instructor is a careful time-keeper, stays on schedule, and mostly relies on large group discussion.

Curriculum Section Time needed/allotted (minutes: seconds)

All modules: total video time = 68:05 minutes

MODULE 1: Organizational Change in Non-Western Cultures

Video 1	6:13	
Video 2	5:04	(video total for module: 11:17 minutes)

MODULE 2: Building Relationships that Promote Change

Video 1	4:03	
Video 2	3:12	
Video 3	1:37	(video total for module: 8:52 minutes)

MODULE 3: Collaboration through Appreciative Inquiry

Video 1	6:54	
Video 2	7:39	
Video 3	7:49	
Video 4	4:44	(video total for module: 27:06 minutes)

MODULE 4: Leading from Behind: Key for Sustainable Change

Video 1	7:40	
Video 2	6:27	
Video 3	6:43	(video total for module: 20:50 minutes)

An Instructor's Guide for the Building and Sustaining Foreign Counterpart Organizations Curriculum

Training Delivery

Introduction

Instructor Note: Please familiarize yourself with the content of the curriculum before teaching. Though the videos provide all of the key learning points, you may want to do some of your own background reading prior to teaching the course. See the reference section, as well as Appendix B, for a list of relevant articles/resources.

INSTRUCTOR GREETING:

Welcome! Today we'll be talking about how best to facilitate organizational change when working in host countries. In this curriculum we will focus on

- how to understand the nature and contexts of organizations, and the people who work within them
- ways to identify the goals and values of counterparts
- strategies to create sustainability of change efforts in host countries
- strategies to develop a strong relationship with your counterpart and his or her organization, while also creating buy-in
- factors which facilitate an advisors ability to lead from behind, a hallmark of effective cross-cultural organizational development

We are also going to examine Western versus non-Western models of organizational change to see what works well in collectivist cultures.

Instructor Note: This curriculum is an advanced curriculum, dense with information, strategies, and complex ideas. It requires higher order thinking and reflection. Additional resources which lay the groundwork for the discussions/activities can be found in the Appendices, including a glossary of terms in Appendix C. Students may benefit from having the glossary in front of them during the videos and classroom discussion.

QUICK GROUP SHORT SHARES:

Instructor addresses group: If you have worked on organizational development projects in host nations in the past, please use key words – or phrases and adjectives – to briefly describe your experience. For those of you with little or no experience working in collectivist cultures, what challenges or rewards are you anticipating? What do you expect the experience to be like? (These are “Popcorn” style short shares, with a few words from each student). Some examples of phrases or adjectives students might use are

- frustrating
- buy-in was critical

- slow process
- rewarding if it works

MODULE 1: ORGANIZATIONAL CHANGE IN NON-WESTERN CULTURES

GOAL: Understand the nature of organizational change in non-Western cultures

Instructor Note: Tell students that this first module is an introduction to the entire curriculum. It sets up the themes for the rest of the modules which focus more on *the how* of working effectively with counterparts to facilitate change (i.e., the curriculum was developed to facilitate an increase in **skills and strategies** to work with host nation counterparts). By the end of this module students will be introduced to (1) a universally applicable organizational change process and the rationale for it, and (2) research-based steps to effectively build and sustain foreign organizations, including

- relationship-building
- understanding individuals, organizations, and contexts
- achieving buy-in and then working to help counterparts move through the 4-D process of Appreciative Inquiry
- leading from behind by monitoring, celebrating incremental achievements, and reinforcing, expanding, or revising processes as appropriate, to create sustainability

The documentary style films included throughout the curriculum are based on analysis of interviews with military personnel, practitioners, academics, and host-nation counterparts, and include input from professionals in the field (see Appendix D for a biographical handout on the video consultants who appear in the films).

Lesson 1: Instructor's Notes

Objectives: By the end of this lesson, the student will

- understand the difference between change paradigms in Western versus non-Western cultures
- learn how to help counterparts in non-Western cultures build and sustain organizational growth and evolution

Module 1, Part 1: Introduction to Host Nation Organizational Change

Context: Research has shown that understanding differences in organizational change thinking and processes is crucial for mission success. Culturally-relevant organizational change involves understanding what will work for host counterparts as they facilitate and/or sustain change in their own organizations. This video will foreshadow the entire curriculum and will focus on (1) what is really motivating host nation counterparts to do what they do in their organizations, (2) what advisors can do to help create buy-in for change, and (3) how advisors can facilitate sustainable change in foreign organizations.

This is a documentary-style video highlighting the need for a different mindset regarding organizational change.

The video will introduce the students to the following teaching points:

- Building capacity helps build sustainable organizational change.
- Collectivist values and perspectives may differ from ours, thus advisors should take time to understand the viewpoint(s) of counterparts.
- A counterpart-led organizational change effort is the key to sustainable change for the host nation.
- Importing American goals or strategies is often a recipe for failure; instead advisors should identify culturally-viable plans, strategies, and goals.

Additional points for discussion include

- understanding the kinds of incentives that appeal to collectivist counterparts, and how to build propensity for change
- understanding the common causes of fear and resistance among counterparts
- understanding why Western deficit-based models of organizational change may not work in collectivist contexts
- understanding the differences between particularism (i.e., where relationships/context trump rules and decisions are situationally contingent) and universalism (i.e., universal rules are applied to all – common in Western contexts)
- understanding how time horizons, incentives, decision-making processes, and rationales/values are different in non-Western organizations
- identifying effective strategies for assessing organizational structure and its human networks

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) “Helping foreign counterparts build and sustain their organizations is very different from building and sustaining organizations in the U.S. The better you understand the unique nature of organizational change in collectivist cultures, the more likely you are to be successful at this kind of work.”



SHOW VIDEO: Module 1, Part 1: Introduction to Host Nation Organizational Change



GROUP DISCUSSION:

Think about a time when you were involved in changing something here in the

U.S. (Note: It could be something from work, a student's community, etc.)

- What process did you use? What worked? What didn't?
- For those of you who have deployed before, were you ever involved with helping to change a host nation process, procedure, or way of doing something? What worked? What didn't?
- Sometimes your counterpart(s) may want to do something that is not supported in the U.S. plan or strategy. As Dr. Sterling mentioned in the video, her goal was malaria eradication while her counterparts were interested in food security. Because transparency about what you can and can't support is key, what are some strategies for working with, and communicating about, change goals that the U.S. can't get behind?



ACTIVITY: Universalists vs. Particularists

The following section encourages students to consider how different cultural orientations (their own and their counterparts) impact organizational change efforts. This section focuses on universalism and particularism and provides specific examples of how these orientations may impact organizational change work.

Instructor Note: Appendix E provides a handout for students outlining the information below – it includes a worksheet for students to use following in-class discussion. Also note that while the cultures of the U.S. and many European countries tend to be universalist – and collectivist cultures tend to be particularist – you should emphasize that advisors and counterparts will vary in their individual orientations. You should also stress that universalism and particularism are on a spectrum; thus, individuals may vary in degree of particularism and universalism. As part of this activity, be sure to emphasize how differences in orientation/expectations may lead to misunderstandings between advisor and counterpart, and how understanding the counterpart's orientation will help advisors achieve mission objectives by approaching solutions in culturally consistent ways.

Universalism – Universalists tend to be rule-based – they also tend to resist exceptions to rules out of fear that exceptions might weaken the rule, causing the system to collapse. For example, universalists might adhere to the rule, 'Don't cross a street when there is a red light,' even if there is no traffic. Universalism implies equality in the sense that all persons following the rule should be treated the same. In its extreme form, universalism means there is an obligation to adhere to standards universally agreed on by the culture we live in, regardless of the circumstances (e.g., "Do not lie, do not steal," regardless of situational factors).

Particularism – Particularism places great emphasis on personal relationships, and behavior is often driven by obligations to other people. In addition, the focus is on the unique nature of present circumstances and the needs and nuances of the moment. For example a particularist may adhere to the belief, 'This person is my friend/brother/of unique importance to me with special claims on my loyalty. I must sustain/protect this person no matter what the rules say.' Decisions are based on context, and on a logic of the heart and human friendship. Decisions are

also based on what is likely to restore or preserve group harmony (Trompenaars & Hampden-Turner, 1997).

Considerations when working with Particularists and Universalists:

- Biases can result from the difference of orientation. For example, universalists may not trust particularists because, “they always help their friends,” whereas particularists believe, “you can’t trust them; they won’t even help their friends.”
- Countries with strong universalist cultures try to use courts to mediate conflicts. The stronger this perspective, the greater the need for an institution to protect the truth.
- Contracts are a way of life in universalist cultures. A contract serves to record an agreement on principle and codifies what the respective parties have promised to do. In particularist cultures, people keep their promises because of personal relationships with those they hold in particular regard. Contracts may be vague, and there is a preference for mutual accommodation.
- Particularists may get suspicious when hurried. They need time to forge relationships. When working with particularists, the time taken to grow close to your partner now will help you avoid trouble/misunderstandings in the future. If you are not willing to take time now, the relationship is unlikely to survive challenges.

Instructor Note: After reviewing the information above, use the General Orientation chart below as a guide to discuss potential differences between universalist and particularist orientations. For example, there are some overarching themes that you can discuss from each point of view (e.g., relationships, the legal system, ways of conducting business, and contracts/agreements). The following questions can be used to facilitate discussion:

- What is your experience of particularism vs. universalism in the U.S. and in collectivist contexts?
- How might differences in cultural orientation, such as the ones described here, impact the work you plan to do (or have done) with counterparts?
- Given that these differences fall on a spectrum, and each individual is unique, what are the advantages and potential disadvantages of developing an awareness of various cultural paradigms?

Following a discussion of different cultural orientations, you can have students fill out the student worksheet in Appendix E – this can be done individually, in pairs, or small groups. The worksheet answer key is provided on the following page. After filling out the worksheet, have the class reconvene to discuss as a large group. The focus of this second discussion should be on strategies for working with individuals whose cultural expectations/preferences differ from one’s own.

General orientation:

Universalist	Particularist
1. Focus more on rule than relationships	1. Focus more on relationship than on rules
2. Legal contracts are relied on	2. Legal contracts are readily modified
3. A trustworthy person is one who honors his/her word or contract	3. A trustworthy person is the one who honors ties and affinities
4. There is only one truth or reality, that which has been agreed to	4. Recognize that perspectives may vary from person to person
5. A deal is a deal	5. Relationships evolve

An answer key to the student worksheet is provided below.

WORKSHEET ANSWER KEY:

What each general orientation might expect and culturally prefer:

Universalists	Particularists
1. Strive for consistency and uniform procedures	1. Build informal networks and create private understandings
2. Institute formal ways of changing the way business is conducted	2. Try to informally alter accustomed patterns of activity
3. Modify the system so that the system will modify you	3. Modify relations with you, so that you will modify the system
4. Signal changes publicly	4. Pull levers privately
5. Seek fairness by treating all like cases in the same way	5. Seek fairness by treating all cases on their personal merits

Tips for:

Working with Universalists	Working with Particularists
1. Be prepared for 'rational' 'professional' arguments and presentations that push for your agreement	1. Allot additional time for discussion and consensus building, and be prepared for inclusion of information that may not seem relevant at the time
2. Do not take impersonal, 'get down to business' attitudes as rude	2. Do not take personal, "get to know you" attitudes as small talk
3. Prepare the legal ground with a lawyer to record an agreement	3. Be aware that contracts may be vague, and there will be a preference for mutual accommodation

Lesson 2: Instructor's Notes

Objectives: By the end of this lesson, the student will

- understand resistance in non-Western cultures
- understand why Western models of organizational change are usually unsuccessful in collectivist contexts
- understand the importance of language and word choice when talking with host counterparts

Module 1, Part 2: Understanding the Terrain: Learning about Contexts of Foreign Organizations

Context: This video teaches advisors how to learn about the relevant contexts that must be understood in order to skillfully facilitate a change process. Advisors will need to know how collectivists' cultural, personal, and organizational dynamics could affect their work, and what sorts of strategies are most useful in the cross-cultural change process.

This video will introduce the students to the following teaching points:

- Understanding contexts will enable advisors to incentivize in a culturally appropriate manner.
- Observation and inquiry are the keys to learning about an organization's culture.
- The "deficit-based" organizational change approach can lead to learned helplessness among host-nation counterparts.
- Best practice is to focus on existing core strengths and build change from there.
- Resistance to change is universal, due to fear of loss and fear of the unknown; individuals from collectivist cultures tend to be interdependent and may fear damage to the collective.
- Forms of resistance can include not following through or distracting the leader from goals.
- Resistance should be anticipated, identified, and addressed through confidence-building, reassurance, and enabling counterparts to lead an effort they can support.
- "Change" language is often unwelcome, but terms that suggest continuity/evolution/stability are likely to be acceptable.
- Relationships matter more when the advisor has little or no command authority, or other power.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "Resistance to change is a universal human feeling, so you need to figure out what *motivates* your counterparts to want to improve their organization, and how to encourage them to take action. This video gives guidance about how to do just that."



SHOW VIDEO: Module 1, Part 2: Understanding the Terrain: Learning about Contexts of Foreign Organizations



GROUP DISCUSSION: Ask for questions/comments about the topics raised in the video. For example, you might ask: What do you think about the “deficit-based” organizational change approach, and Dr. Glenzer’s comment that it can lead to learned helplessness? You can also lead a brief class brainstorm (popcorn style), gathering effective strategies for cross-cultural organizational change.

Instructor Note: You may want to tell your student(s) they’ll be learning about the strengths-based approach later in the curriculum.

For a more in-depth discussion consider the following questions:

- What are indicators of resistance to change you’ve seen in theater?
- Drawing from both your personal experience and ideas shared in the film, what are some strategies to deal with resistance to change?
- Can you share some brief examples of seeing the deficit-based style played out in theater? Results?
- What are effective strategies to find out
 - what is needed by an organization and its personnel/stakeholders;
 - what strengths the organization currently possesses;
 - what existing strategies work, what do not;
 - who is really in charge; as well as
 - more about your counterpart’s organizational, personal, and/or cultural norms, beliefs, and values?

Instructor Note: You may want to write identified strategies down on a white board so learning can be reinforced by seeing the strategies as well as hearing them.

MODULE 2: BUILDING RELATIONSHIPS THAT PROMOTE CHANGE

GOAL: Create the foundations for organizational evolution through relationship-building and maintenance.

Lesson 1: Instructor's Notes

Objectives: By the end of this lesson, the student will

- understand why creating strong relationships enhances an advisor's ability to build lasting change
- understand how to create strong relationships to enable effective change in the organization

Module 2, Part 1: Relationship Building

Context: This module is about why relationships are often more important than tasks when working in collectivist cultures, and why empowering and encouraging counterparts is more effective than identifying "problems" or "deficits" that need to be "fixed." This video aims to teach strategies for how to build powerful relationships. Creating strong respect- and trust-based relationships are a best practice for helping build strong organizations.

This video will introduce students to the following teaching points:

- Trust and respect are the backbone of relationships between advisors and their counterparts, especially in the absence of command or other direct power.
- Building relationships takes time; leaders need to avoid being in a hurry or being task-oriented during the initial phases of the change process.
- It helps to learn what counterparts feel about the change process and what is important to them; ask for stories that allow them to express what is important to them.
- Be transparent and sincere with counterparts in order to gain and maintain a bond of trust.
- Presume competence as a way of showing respect; if someone is truly incompetent, it will become clear and you can deal with that as needed.

Instructor Note: Make sure to reinforce these points during the discussions and exercises.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "Relationships are at the heart of successful work with counterparts. When building these very important relationships, you lay the groundwork for your counterparts to become leaders in their own change effort, as well as for mission success. In this video, you will learn why building strong respect and trust-based relationships is your best strategy for helping counterparts build and sustain their organizations."



SHOW VIDEO: Module 2, Part 1: Relationship Building



GROUP DISCUSSION:

Instructor Note: Several questions for discussion are provided below. Please pick and choose, based on the sophistication of your audience, time constraints, and your preferences.

- Ask students, 'What are some effective strategies you've used to build relationships with counterparts?' Allow for discussion and capture comments on a flip chart or white board. Possible answers may include: active listening, made time for meals/tea with counterparts, socialized with counterparts outside of work setting.
- Some experts say that building a trusting relationship is more important than building a friendly relationship. Have you found this to be the case? What strategies do you plan to use to build trust?
- What sounds challenging about presuming competence? What strategies work when you've identified that someone truly isn't competent, or who is otherwise 'blocking' the change process?

Lesson 2: Instructor's Notes

Objectives: By the end of this lesson, the student will

- understand that many counterparts have previous – often negative – experiences with international advisors, and that new advisors have to show that they are genuinely willing, and able, to help
- understand that one should seek information corroboration from outside the network *discretely*
- learn strategies for dealing with corruption
- understand that building networks with your counterpart works better than building them alone

Module 2, Part 2: Troubleshooting Relationships

Context: Learning about how past experiences inform your counterparts' attitudes toward you are crucial for mission success. In order to sustain relationships, one must know how to repair damaged relationships. Building networks through your counterpart will also help build the organizations with which you work.

The video will introduce students to the following teaching points:

- Both past experiences and present circumstances inform your counterparts' attitudes toward you.
- It is best to build networks with the help of your counterpart, not by bypassing him/her.
- Advisors should seek information corroboration from those outside the networks *discretely*.
- The concept of corruption is complicated and advisors should be aware that perceptions of corruption are often culturally dependent.
- It may be possible to help individuals transition to being productive contributors to the change process even if they are perceived as mildly corrupt; however, advisors may need to work around individuals who are proven to be truly corrupt.

Instructor Note: When discussing perceived corruption keep in mind that the concept of corruption is often culturally dependent. As an example, in many collectivist cultures support of family and friends is valued more highly than the Western notion of meritocracy (i.e., holding of power by people selected on the basis of their ability). Also, what may appear to Westerners as corruption may be part of a country's normal economic activity. For instance, in some countries a 'handling fee,' which Americans may consider corrupt, is expected and acceptable. In instances such as these much investigation and reflection is needed to understand what is truly transpiring.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) “Many of the host nationals you will be working with will have their own understanding of the legacy and relationship between their country and the U.S. This understanding may be similar – or vastly different – from your understanding. In addition, what your counterparts want from their relationship with U.S. advisors may not fully align with the goals of your mission. Having a clearer understanding of these starting points, and knowing how to successfully move past potential differences, will influence your ability to produce results. This module will help you begin to align your goals with those of your counterparts, as well as to learn how you can repair several possible relationship problems should they arise.”



SHOW VIDEO: Module 2, Part 2: Troubleshooting Relationships



GROUP DISCUSSION:

- Sometimes it is important to seek information corroboration from those outside your counterpart's networks. For example, you might want more information about your counterpart's past job performance, or more information about why a certain program ended. Why is it important to do this? And why is it important to be discreet?
- Give examples of times when your relationship with your counterpart was impacted by prior negative relationships with advisors or other U.S. personnel – what strategies worked to build/repair an initially problematic relationship?
- The video brings up the topic of corruption. Corruption is a very complex topic and may point to different viewpoints on things such as rules, relationships, and economics. What strategies have you found useful in dealing with individuals which appear to be corrupt? How did you find out more about the situation and what was actually driving the person's behavior, in order to assess whether the person was truly corrupt?
- Relationships are key to organizational change, particularly in collectivist cultures. Beyond corruption and difficulties with prior U.S. personnel, what other problems might be encountered in relationships with counterparts? What are effective strategies for dealing with relationship difficulties encountered during the advising process?

Lesson 3: Instructor's Notes

Objectives: By the end of this lesson, the student will

- understand the history of development ideologies since the end of World War II
- understand the importance of creating *sustainable* relationships with counterparts

Module 2, Part 3: Creating Sustainable Relationships

Context: As Booy, Sena, and Arusha (2000) explain, the history of international development efforts has evolved beyond a direct aid model, characterized by giving food and other goods directly to recipient communities and organizations. While this approach is sometimes still necessary to save lives in a natural disaster or humanitarian emergency, direct aid has been shown to create dependency. Given this, development organizations have for decades been working to create more collaborative methods for building and sustaining foreign organizations. In a collaborative approach, foreign development personnel and host nation citizens work together on projects. Too often, however, projects have been planned and financed by foreigners - an approach that has been found to be unlikely to result in sustainable projects once the foreigners leave. Thus, simply working "with" counterparts is not an ideal strategy. For local sustainability to be achieved, local stakeholders must be the drivers and owners of the process. Development "by" the stakeholders is the current best practice. Development "by" stakeholders can include outside support; however, the leadership and resources for sustainability should come from the host nation. For more detail see Appendix F: For/With/By Theories of International Development.

In this video, the students will be introduced to the following teaching points:

- International development strategies have evolved in the past 60 years from doing **for** host counterparts to facilitating development efforts **by** the host-nation.
- In contrast to direct aid or collaborative models, host-nation-led efforts are much more likely to be sustained over time.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "The history of international development teaches us a great deal about what works and what doesn't for creating sustainable change in organizations. International development strategies have evolved a great deal in recent decades. This video describes where we've come from and what strategies are considered best practice today."



SHOW VIDEO: Module 2, Part 3 Creating Sustainable Relationships



GROUP DISCUSSION:

Instructor note: Display figure four 'Theories of International Development' during discussion. If you want to provide the figure as a handout, print page F-3 from the Appendices. Appendix F also includes a short description of each theory of international development, which can be provided to students for reference. For this group discussion it is best to break the class into small groups, and then bring them back together for a large group debrief if time permits.

- Given your past experience and personal philosophy of advising, what aspects of the current model (change BY the people) is most appealing to you?
- What aspects sound challenging for you to accomplish given the realities of your mission objectives?
- How can you use your strengths, or the strengths of your organization, to help you overcome these challenges?
- How might you apply the 'BY' model to your current project goals and your future activities?
- Where do you think the military – or your government agency – should fall on the 'For-With-By' spectrum (see slide or handout), and where are they now? If necessary, what strategies or skills can you use to move your organization along the continuum?

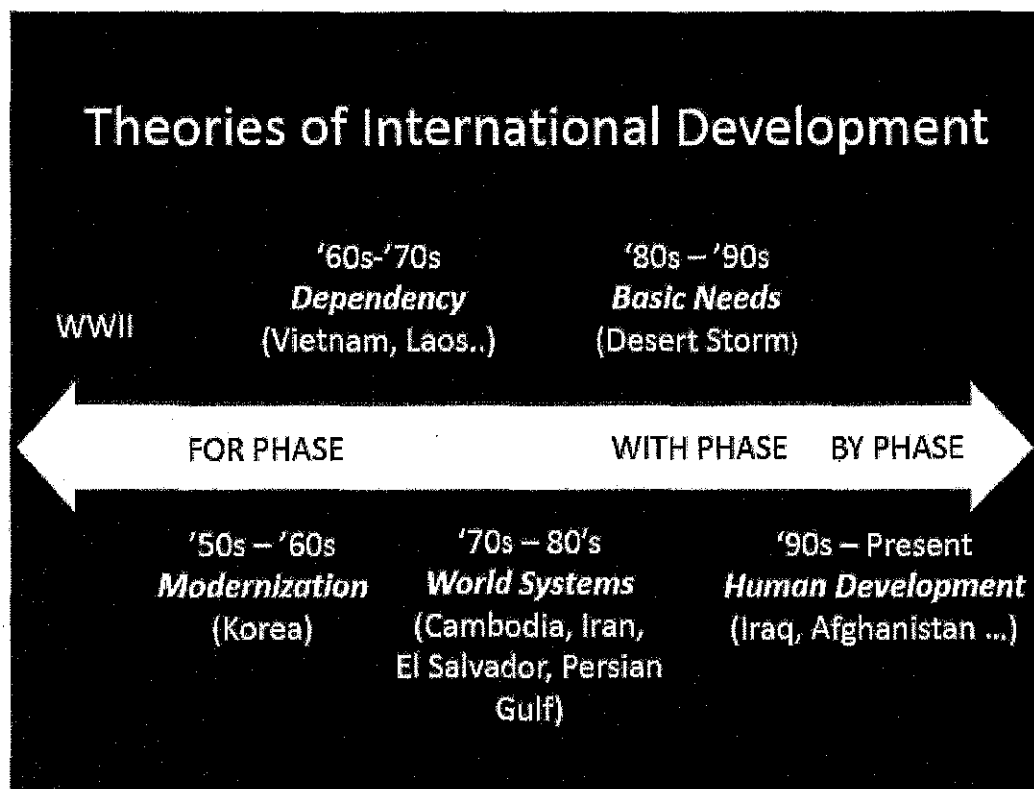


Figure 4. Theories of international development.



ACTIVITY: For/With/By

Instructor Note: If you haven't done so already, provide students with a copy of Appendix F: For/With/By: Theories of International Development.

Have students get into three small groups (six if you have a large class). Assign each group one of the following models of international development: For, With, or By. Do not let groups know what is being assigned to other groups. Ask each group to give examples of specific conversations they might have regarding organizational change with a host national counterpart utilizing their assigned model. For example, the FOR group's comments may be: 'We understand that you've been doing things your way for a long time. However, we have new technology and techniques that will greatly enhance your capabilities. We need to set up a training schedule so that everyone is proficient in using these new tools.' Have the others guess which model they are demonstrating.

Debrief. Ask students to think about which model they found easiest to develop conversations around. Ask everyone, 'What kinds of questions would you ask your counterparts based on the model you were given?' and 'What results/outcome do you anticipate from this approach?'

MODULE 3: COLLABORATION THROUGH APPRECIATIVE INQUIRY

GOAL: Learn how to use a strengths-based advising approach to empower counterparts to plan and execute organizational build and sustain efforts on their own behalf.

Lesson 1: Instructor's Notes

Objectives: During this lesson, the student will

- learn about appreciative inquiry and its sequential stages
- apply strategies for gathering themes and stories which generate collective agreement and energy to take action
- learn to focus counterparts on their core strengths

Module 3, Part 1: Introduction to Appreciative Inquiry

Context: The lesson in this module will help the student gain skills in using appreciative inquiry as a method to learn about relevant human, organizational, historical and cultural contexts, while also building relationships with counterparts. The student will learn what appreciative inquiry is and how and when to use it. Specifically, the student will learn how to use appreciative inquiry to ask questions about the counterpart, the counterpart's organization (e.g., history, management, leadership, power dynamics, roles and responsibilities, strengths and weaknesses), and other relevant contexts. The answers to these questions will shed light on local ways of thinking, feeling, and behaving.

The video introduces the students to the following teaching points:

- A collaborative, strengths-based advisory approach will enable advisors to achieve a "win-win" that meets U.S. and host nation goals.
- There are many theoretical approaches to choose from in regard to organizational change, but deficit-based "diagnose and fix" models are not likely to work well in collectivist cultures.
- Dreaming about a better future helps people become energized for change. Using evolution-related language, such as "growth" rather than "change," will work best in collectivist contexts.
- The Appreciative Inquiry (AI) method delivers results, but will not work for all contexts. Sometimes other strategies are required, especially if there is one right answer (e.g., in the case of medicine, weapons, accounting, etc.); when appreciative inquiry is applied, it needs to be adapted to the cultural context.
- When using AI, advisors can encourage story-telling, taking note of key themes and strategies; these can then be used to help generate host nation energy for change and buy-in from counterparts/stakeholders.
- The 4-D method of AI consists of: Discover / Dream / Design / Deliver. The order of the elements is important, as one leads to the next.

- Data gathered from the 4-D process can be used to generate positive dialogue among counterparts/stakeholders about the change process and progress.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) “The deficit-based model of organizational change commonly used in Western contexts (i.e., diagnose problems and fix them) does not translate well in many collectivist contexts. You are not likely to have command power when advising counterparts, so you need to get your counterparts excited about building on their personal and organizational strengths. If you’re successful, your counterparts will lead the change effort. This video introduces you to a process for organizational change used by development experts worldwide with a high degree of proven success.”



SHOW VIDEO: Module 3, Part 1: Introduction to Appreciative Inquiry

Instructor Note: See Appendix G for more information about appreciative inquiry. Appreciative inquiry uses questions to focus discussion on what has meaning and value for an individual and organization. When advisors use appreciative inquiry, they are eliciting stories of past success (i.e., what has been possible and worthwhile), which leads to stories of what could be possible in the future. Bringing valued experiences into consciousness encourages action aligned with those values. Counterparts learn to see themselves as subjects of a system they can actively transform rather than as objects of a system that limits them or determines their action.



ACTIVITY: 4-D Questions

In small groups or individually, ask military or civilian leaders to brainstorm questions for each of the 4-Ds of the AI method. Provide students with Appendix H, which gives a short summary of the four phases of Appreciative Inquiry (Discover / Dream / Design / Deliver), and ideas for questions that one might use when working on build and sustain efforts. You might also ask your students to write down questions they find most useful when generating motivation for change in foreign organizations. Then ask students, ‘Which of these additional questions fit the 4-D method?’

Debrief. Ask students to share questions for each stage of the AI method. Write down their answers on a white board or flip chart.

Instructor Note: Appendix I provides additional ideas for 4-D questions. You can pass these out to the class for take home reading or class discussion if time permits.



GROUP DISCUSSION:

- Have you used these kinds of questioning techniques in the past? What was the outcome?
- What kinds of situations have you encountered where Appreciative Inquiry might not work?
- Give examples of the 'deficit-based' model in action [in a collectivist culture]? What were the results of this approach?

Lesson 2: Instructor's Notes

Objective: By the end of the lesson, the student will

- understand the importance of asking questions, such as how and why, that elicit important information, including information about context and history

Module 3, Part 2: From Dream to Design

Context: This video will teach students how to work with the data gleaned from AI questions to move the AI effort through the key steps of 4-D process.

This video introduces the students to the following teaching points:

- Negative questions may produce resistance whereas positive questions, which focus on an organization's strengths, are energizing and encouraging.
- Mirroring responses and open-ended follow-up questions build counterpart self-confidence.
- It is important to interpret with counterparts the data gleaned from dialogue and questioning, so that counterparts can analyze their own ideas and plan for viable change.
- In addition to looking for key themes, it is important for advisors to identify what counterparts do NOT say. Inferring what those omissions might mean can help in discovering any difficulties in the organization.
- Concrete plans – with objectives, role/task divisions, milestones and metrics – should result from the first three steps in the 4-D process.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "Appreciative Inquiry is a highly successful approach to planning and executing an organizational change process, both in Western cultures and in collectivist cultures. It works because it's strengths-based and empowers the stakeholders to lead, design, and implement the change process they desire. By using AI you'll help to ensure buy-in, a proven necessity for any change process."



SHOW VIDEO: Module 3, Part 2: From Dream to Design



GROUP DISCUSSION:

As a group discuss positive versus negative questions. Ask students 'Which approach will likely elicit more information?' and 'Why do you think one approach lends itself to more positive results in collectivist contexts?'

Instructor Note: Appendix J provides examples comparing positive (strengths-based) questions versus negative (deficit-based) questions. You can pass these out to the class for take home reading or class discussion if time permits.



ACTIVITY: How and Why Questions

Using questions generated in previous class discussions have students experiment with changing the construction and scope of the questions. For example, students could alter yes/no questions to 'why' and 'what if' questions to stimulate more reflective thinking and more creative responses from counterparts.

Instructor Note: Appendix K contains a handout about how and why questions.

Lesson 3: Instructor's Notes

Objectives: After this lesson, the student will

- understand the pros and cons of problem-centered vs. strengths-centered conversations with counterparts, especially in the “discover” and “dream” stages of the 4-D process
- incorporate strategies for strengths-centered conversations in their repertoire

Module 3, Part 3: Problem-centered vs. Strengths-centered Conversations: A Dramatic Role-Play in Two Parts

Context: The student will learn how organizational change advisors with good intentions may choose very different strategies to learn information, give feedback, and try to create change in collaboration with counterparts. The different strategies may lead to different outcomes, as in the case of this role-play, which features the same characters having two conversations with different tones, dialogue, and outcomes.

The video introduces the students to the following teaching points:

- A problem-based approach and a strengths-based approach can result in different outcomes.
- The types of inquiry used to learn information (i.e., negative judgments vs. admiration and curiosity) may result in different styles of communication from counterparts (e.g., short answers vs. expansive story-telling).
- Advisors who ‘suggest’ next steps versus ‘solve’ perceived problems may be more successful.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) “We’re going to watch a role-play which demonstrates how the tone of early conversations with counterparts – whether positive or negative – can set leaders up for good or not so good outcomes. While you’re watching, take notes about what works, what doesn’t, and why. Look for the subtle details.”



SHOW VIDEO: Module 3, Part 3: Problem-Centered versus Strengths-centered conversations

Instructor Note: Watch the video straight through without stopping. The “Problem-centered Conversation (Part 1)” video is followed immediately by the “Strengths-centered Conversation (Part 2)” video.



ACTIVITY: Fix-it vs. Strengths-based Inquiry

Have a brief compare and contrast discussion of the two videos and how the counterpart's behavior differed in each, and probable reasons why. Write the ideas shared on a white board under column headings: 'Problem-based' and 'Strengths-based.' You may pass out the script found in Appendix L if you want to delve into the words spoken with students.

Appreciative Inquiry Pair Share Practice. Divide the group into pairs and have each person interview their partner for five minutes. Students should identify what *excites and engages their partner regarding his current job* (or instructor can choose a different AI-relevant inquiry topic). Possible AI questions:

- Tell me a story about a time when members of your unit got really engaged in something you were doing.
- Tell me more about what took place:
 - Who was involved?
 - How did it feel?
 - What do you think contributed to their interest and initiative?
 - How was this interest supported by you or your team?
 - What else contributed to your unit's success?
 - What else would you like to see happen?
 - What actions and commitments are needed to make your vision a reality?

Large group debrief of activity. Questions for the instructor to ask: How did this activity go? Knowing what you know about people from collectivist societies, why does the AI method make sense (or not)? Write brainstorm on white board. The following are possible responses:

- Storytelling is valued.
- AI promotes face-saving.
- Positive focus/Strengths-based approach will work best.
- The counterpart comes up with goal which helps create buy-in.
- AI puts counterpart in driver's seat or leading the change effort.
- AI helps build relationships.
- AI is dreams- and desires-focused instead of planning-focused which will work better in a collectivist culture.
- AI increases the likelihood of sustainable action.



ACTIVITY: AI Role-play

Tell students, “In this activity we focus on how to integrate organizational development with relationship building and appreciative inquiry. This activity will require your participation and each person will play a role – either that of advisor, counterpart, or observer.”

Tell the class they are going to practice establishing goals using Appreciative Inquiry strategies presented in the video. Depending on the skill level of the class, you may want to prompt them with examples of questions they may find helpful in the initial planning stages. Pass out Appendix H and Appendix I if you haven’t passed them out already.

Put the students into groups of three (One to play the advisor, one to play the counterpart, and one to be an observer). Pass out the handout in Appendix M and assign parts. In this role-play, the U.S. military is trying to transfer a skill to a host nation military. This is not a conflict post, but the country is important to U.S. interests in the region. There are conflicts in neighboring countries and in these conflicts the U.S. is supporting pro-democracy elements while other countries are supporting current regimes. After the students read their part, explain that two students will start by acting out the advisor and counterpart roles. Since this is the first formal meeting, the advisor and counterpart will need to build rapport and establish goals for their work together.

Following the role-play, students will have the opportunity to debrief with their small group. The observer will share observations when the role-play is over, and the other two role-players have had a chance to discuss their experiences. Tell the students that there is no right or wrong answer/approach, but that participation should deepen their understanding of working with counterparts and provide them with a chance to practice skills.

Role 1: Advisor

You have only 3 months to accomplish X (make timeline and X congruent with what your class will be expected to accomplish on their deployment). You are meeting with your counterpart this afternoon to establish goals for the next 3 months and to discuss the best way to accomplish your main task (X).

You/your commanders know that transferring certain skills is critical to the local military’s ability to be effective. This is not a conflict post but the country is important to U.S. interests in the region. There are conflicts in neighboring countries and in these conflicts the U.S. is supporting pro-democracy elements while other countries are supporting current regimes.

You know that in the past 6 months the number of advisors entering the country has increased, yet the coordination among U.S. advisors needs to be strengthened. Your counterpart has worked with U.S. advisors in the past with mixed results. It is important that the U.S. maintains strong diplomatic and military relationships in the country as this is a strategic site to monitor and support pro-democracy elements in neighboring countries. Thus, building and/or maintaining a strong relationship with your counterpart is also an objective of today’s meeting.

Role 2: Counterpart

You are meeting with yet another U.S. Advisor. Your relationship with the last advisor was difficult, as he didn't seem to understand local customs and traditions and was not willing to listen to local concerns. You know this advisor will be on this assignment for only 3-6 months (or time frame of this group) so there is little motivation to work with him. You are not looking forward to working with yet another American.

You are finally meeting to start planning what you will try to accomplish in the coming months (or relevant time frame). Though you've gotten together a couple of times informally, this is your first meeting to start planning together.

Role 3: Observer

Your role is to provide feedback to the advisor on his/her meeting with the counterpart. As you observe the interaction consider the following:

- How did the advisor begin the conversation?
- What was the advisor's focus?
- What was successful in the interaction?
- What was not successful?
- How did the counterpart receive the advisor? Were there any areas of conflict or resistance?
- What was the counterpart's focus? Did the advisor take steps to align his/her goals with those of the counterpart?
- What was the outcome of the meeting (i.e., did the advisor and counterpart establish goals, begin to develop a plan, build rapport, etc.)?

Instructor Note: When you get a sense that all groups have run the role-play, ask each group to debrief on their own. Advisors and counterparts should share what was difficult about the role-play, as well as what worked and what didn't. Observers should provide feedback to the advisor about what was successful and what needed improvement. Refer the observer to the questions provided in his role description.

After the triads have had time to debrief on their own, bring them back together for a large group share about their takeaways from the role-play.

Lesson 4: Instructor's Notes

Objectives: After this lesson, the student will

- understand the value of reflection for understanding others' – as well as one's own – beliefs and biases
- apply the Ladder of Inference to reflect on his own assumptions

Module 3, Part 4: Check Your Thinking

Context: This video reveals how inferences and conclusions based on cultural bias or negative beliefs can derail the 4-D process. Understanding the steps involved in drawing conclusions from factual information can help individuals avoid making incorrect judgments. This video presents the "Ladder of Inference," a tool for breaking down the steps from objective observation to subjective judgment. By utilizing this tool advisors can avoid drawing faulty conclusions that can undermine the 4-D process.

This video introduces students to the following teaching points:

- Understanding the relationship between observations, assumptions, beliefs, and conclusions is important for advisors working in cross-cultural contexts.
- The usefulness of checking in with others, or with data, to verify assumptions is key to gaining a full understanding of the situation; and, if needed, advisors must be prepared to communicate with counterparts about their relationship.
- Understanding the Ladder of Inference – and using it as a reflection tool – can positively impact organizational build and sustain efforts.

Instructor Note: A brief summary of the steps on the ladder are provided below. For more information on the Ladder of Inference, see Appendix N.

Rung 1: Information we observe and experience

This is the only fact-based rung, based on seeing and hearing.

Rung 2: What we notice and select from the sea of information

The personal filtering begins – individuals select from available information based on what they find relevant or important. At this step, make sure you are actually selecting from all data points. Ask yourself, 'Are there other facts I should consider?'

Rung 3: Add cultural and personal meaning

Because each individual is influenced by their cultural context, as well as unique personal experiences and characteristics, the subset of information selected takes on specific types of meaning. You have begun to describe and interpret the data. Try to consider alternate perspectives. Ask yourself, 'Is my own background influencing my thinking?'

Rung 4: Add own beliefs and assumptions

The newly added meaning leads to assumptions about motivations, behaviors, feelings, and desires of others – the line between fact, and the narrative you've created, becomes blurred. Ask yourself, 'Are my assumptions valid?'

Rung 5: Draw conclusions and adjust views

While drawing conclusions and revising or adopting beliefs are sometimes viewed as two separate rungs on the ladder of inference, they are highly related steps that occur at roughly the same time. Informed by assumptions, individuals come to conclusions that lead them to revise or adopt belief(s) or deeply held truths. At this stage, ask yourself, 'What conclusions are my beliefs based on?' and 'Are those conclusion accurate?'

Rung 6: Take action based on revised views

Based on beliefs and feelings created from the previous rungs individuals react, often emotionally rather than rationally. It is critical you challenge your own beliefs and assumptions, analyzing each step of the ladder. Learn to ask yourself WHY you are reacting as you are. Is it based in reality or more from your own assumptions? Check in with others to test your thinking.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "This video presents the Ladder of Inference, which is a tool for reflecting on your own thinking/biases. Our beliefs and biases influence how we derive meaning from our experiences. Understanding how our beliefs and biases influence our decision process is especially important in a host country, where we are more likely to make unfounded/unsupported assumptions because we have less information, and we reason according to our own values and cultural norms."

Instructor Note: You may choose to lead a brief discussion before showing the video. For example, you could ask your students the following questions:

- How does having time for self-reflection impact your thinking?
- When making important decisions do you take time to analyze how you reached a particular conclusion? What does this process look like?



SHOW VIDEO: Module 3, Part 4: Check Your Thinking



GROUP DISCUSSION:

Instructor Note: A large number of questions are provided for discussion. Please pick and choose based on the experience of your audience, time constraints, and your preferences.

- When making important decisions, or when you've come to a conclusion about a person or situation, are there strategies you use to reflect on your own thinking?
- How can the Ladder of Inference be used to gain a better understanding of one's own reasoning, as well as the reasoning of other individuals?
- What are some questions you can ask yourself to get more insight into your thinking process? For example, asking yourself, 'What evidence do I have that I'm wrong?' is one way to evaluate conclusions drawn.
- What are some strategies for creating more hypotheses to explain unexpected events?
- What are good strategies for teaching this process to counterparts?



ACTIVITY: Individual Reflection Exercise

Review the rungs/steps on the Ladder of Inference detailed in Appendix N. Ask students to recall a time when they went from observing to drawing conclusions to taking action – and then found out they had made incorrect inferences. Have them write about how their thought/feeling process worked, using some – or all – of the six rungs of the Ladder of Inference. Time permitting, members of the group can briefly share their stories.



ACTIVITY: Challenge thinking using the Ladder of Inference

Instructor Note: Have students work together in pairs. If students do not have a copy, pass out Appendix N.

Ask students to, 'Identify a situation where you regret an action you took, or nearly took. From the top 'rung,' explain your reasoning to your partner by working down the Ladder of Inference. This will help you identify the underlying facts and reality that you were actually working with. As you analyze each step, you may need to adjust your reasoning.

Partners, at each stage ask your collaborator WHAT they were thinking and WHY. Use the questions included in the handout under Tip 1 to examine your partners thinking and help them work backwards through the inference process. As part of the process, you may need to challenge your partner's assumptions or encourage your partner to extend the field of data initially selected.'

Instructor Note: By explaining their reasoning, students can check that their argument is sound. Challenging each other's thinking should also encourage students to reevaluate beliefs, conclusions, and assumptions as needed.

MODULE 4: LEADING FROM BEHIND: KEY FOR SUSTAINABLE CHANGE

GOAL: Know how to collaborate in all aspects of a build and sustain effort and how to empower the host nation counterpart to lead the effort.

Lesson 1: Instructor's Notes

Objective: After this lesson, the student will

- understand how to build ownership of the project with the counterpart(s)
- recognize strategies for implementation that lead to greater success

Module 4, Part 1: Building Ownership

Context: This video offers strategies for achieving buy-in and encouraging local leadership so that change efforts have the best chance of success.

This video introduces the students to the following teaching points:

- To encourage counterpart ownership of the change effort, use questions and dialogue to elicit counterpart's ideas about what works, what doesn't, what the needs and hopes for the future are, and what strategies might work to achieve goals.
- Active listening, encouraging feedback, and knowledge-based insight empower counterparts to believe they can help their organization evolve.
- Counterparts should be the agent of change, both in his own mind and in the eyes of leadership/fellow workers at the organization.
- Avoid being directive unless there is no alternative. Instead observe, provide support, and teach by indirect methods such as storytelling or using metaphor.
- The "box model" is one strategy to get buy-in from chains of command / hierarchy on both sides, as appropriate.
- Take care not to offer incentives (especially financial ones) that replace genuine desire to create counterpart-driven sustainable change; instead create viable in-house incentives (e.g., training, certificates of completion, celebration of success) that build face, pride, confidence, and energy for additional change.
- Check for buy-in; make sure goals are viable and supported by the counterpart.

Additional points for discussion include

- strategies for, and benefits of, leading from behind in ways that empower and support the counterpart
- strategies for fading influence, communicating indirectly when needed, and offering encouragement, guidance, and support
- approaches to planning that combine AI and military planning

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "If counterparts are going to be able to sustain changes after they are made, they have to be empowered to do the necessary work, and they have to believe they will succeed. As you support counterparts through the 4-D process, your role changes. In the beginning, you are a catalyst for imagining a better future. By the time you get to the design and deliver phases of the 4-D process, your counterparts need to be in charge of the effort. You are there to support them while they become more and more self-sufficient. This video gives you strategies to build ownership in your counterparts during your upcoming deployment."



SHOW VIDEO: Module 4, Part 1: Building Ownership



GROUP DISCUSSION:

Instructor Note: Using the following questions solicit and discuss student experiences of successfully fading their influence and promoting counterpart-led efforts. Discuss challenges and strategies to address those challenges, based on group members' experiences. Discuss the benefits of empowering counterparts and any concerns the class may have.

- What strategies have you found most successful for creating buy-in for the change effort?
- What strategies for empower counterparts have you used? What were the benefits of working with empowered counterparts?
- Based on your experience, what challenges did you face when creating counterpart-led efforts? What strategies did you use to address those challenges?
- What incentives have you used successfully (or unsuccessfully) with host nationals? Why did they succeed or fail?
- Did you learn any strategies from the film that have not yet been discussed which you hope to use in the future? **Instructor Note:** this final question could be a popcorn share.

Lesson 2: Instructor's Notes

Objective: After this lesson, the student will understand strategies for sustaining the organizational change process after the mission is over.

Module 4, Part 2: Implementing, Monitoring, and Sustaining Change

Context: This video will teach that strengths-based organizational planning should include standard organizational planning components, such as task assignment, monitoring, and evaluation. However, to ensure success these components must be led by the counterpart, as inclusive as possible, full of communication, and appropriate to the local culture.

This video introduces the students to the following teaching points:

- Avoid communicating in terms of problems, diagnosis, deficits, dysfunction, or fixing; instead be strengths-based, while understanding what has not worked well as part of the context.
- Learn how to manage your own – as well as the counterparts – expectations, and remember to celebrate the small wins.
- Leading from behind involves supporting counterparts' efforts to plan and execute goals, roles, tasks, timeline, milestone setting, monitoring and evaluation.
- Start small (i.e., through pilot efforts) and adjust as needed in order to promote long-term sustainability.
- Troubleshoot individual and organizational resistance by clarifying understanding, active listening, supporting adjustment of plans, and helping secure commitment.
- Using locally viable monitoring and evaluation methods (rather than imported Western models) will enhance sustainability.
- In order to enhance the chance of success, use both short-term and long-term goals, and work toward *improvement* rather than *resolution* of an identified problem.
- Avoid blaming and penalizing counterparts for disappointing outcomes; focus on mistakes or failed outcomes as learning opportunities.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "This video is filled with tips and strategies for implementing, monitoring, and sustaining change. Try to retain as many as you can for discussion and later use."



SHOW VIDEO: Module 4, Part 2: Implementing, Monitoring, and Sustaining Change



GROUP DISCUSSION:

Instructor Note: A large number of questions are provided for discussion. Please pick and choose based on the experience of your audience, time constraints, and your preferences.

- The narrator ended the video on the following point: Use the litmus test: do counterparts see their fingerprints on the organizational build and sustain work? Does the counterpart feel they have a (positive, motivating) stake in the change effort? Ask your students: What is your reaction to this statement? What past experiences confirm (or contradict) the value of this litmus test?
- How can you keep a focus on the “With” or “By” aspect of your work, especially when you are sent in with tight timelines or an identified goal/mission? Discuss time/task pressure and the goal of leading from behind. How can you cope effectively with these potentially conflicting pressures? Share ideas.
- What strategies did you pick up in the video that have not yet been discussed?
Instructor Note: this question could be a popcorn share
- What strategies stood out most to you, and how might you apply them in the future?



ACTIVITY: Objectives versus Outputs versus Outcomes

Instructor Note: Provide the class with Appendix O – this handout includes a description of the information below, as well as the Oxfam example, and questions for discussion.

As Kent Glenzer explained in the video, an **output** involves an action taken in service of a goal or objective. An output could be in the form of a good or service, such as delivery of refugee tents or provision of a water purification system. On the other hand, an **outcome** is the result or payoff from the action taken to carry out an objective. It's the difference between what we do and what difference it actually makes.

- The **objective** is what we are aiming to achieve.
- The **output** is what we actually deliver.
- The **outcome** is the actual results/effect of our output. It cannot be fully measured until the outputs have been delivered, and it may be useful to measure both short-term and longer-term outcomes.

For example, a particular **objective** might be to train indigenous Soldiers in marksmanship. The **output** is a series of one-hour sessions explaining and demonstrating techniques and then practicing at the firing range. The **outcome** is that the trained Soldiers are 40% more accurate in hitting riflery targets when tested, and have 50% fewer firearms accidents than the Soldiers who did not take the training.

Counterparts need to design their own objectives and outputs (with your support), and decide how they will monitor and evaluate outcomes. Asking your counterparts how they would know the outcome they want has been achieved will help in designing, monitoring, and evaluation metrics. If a new school is built, for example, counterparts might identify outcomes such as: they would observe more children attending school in the neighborhood, or teachers would report that attendance is up by 50%.

Here is an actual example from an international agency:

Oxfam's Strategic Plan 2013-2019 states, "Few people will die, fall sick, and suffer deprivation as result of armed conflict or natural disasters." This objective makes it very explicit what result they want to achieve (outcome). Outputs to meet the first two parts (less death and less sickness) can be created to address this objective, and could include: vaccine campaigns, community health worker visits, diplomatic peace-keeping efforts, etc. 'Few people suffer deprivation' is a more difficult objective to quantify.

Have the class discuss what kinds of outputs could be created to address this objective; and what sorts of outcomes (both positive and negative) might result from actions taken to achieve the objective (the outputs)? Imagine, for example, that the arrival of a peacekeeping force actually leads to more violence and civilian suffering because insurgent leaders have decided that the peacekeeping Soldiers are foreign invaders and must be driven out. Make sure to discuss the importance of measurable results and how measuring outputs without linking them to outcomes is meaningless.

See <http://www.oxfam.org/en/about/accountability/oxfam-strategic-plan-2013-2019/> for more information about Oxfam's measurement of its Strategic Plan objective above.

Instructor Note: To expand on this activity consider having students identify metrics to monitor and evaluate identified outputs and outcomes. More information on measurement and evaluation using various methods is provided in Appendix P.

Lesson 3: Instructor's Notes

Objective: After this lesson, the student will gain strategies that lead to success in difficult situations by working through a series of challenges with a counterpart who shows lack of buy-in and resistance.

Module 4, Part 3: Critical Incident

Context: This is a "Critical Incident" video that describes the experience of a senior military officer in his efforts to build and sustain change in a foreign organization.

This video introduces the students to the following teaching points:

- Advising for organizational change in a collectivist culture takes time, and advisors may face small successes and challenges along the way to long-term success.
- Understanding a counterpart's motivations and concerns is key to helping co-create sustainable change.

TEACHING INSTRUCTIONS:

BUILDING PROPENSITY FOR THE VIDEO: (You can articulate a version of the following to your class) "Imagine you have specific goals you want your counterpart to accomplish. What will make him want to get on board and change how he's running his operation? How can you help him see the benefit of the change? The following video depicts the experience of a senior military officer in his efforts to build and sustain change in a foreign organization. The story is based on actual examples from military subject matter experts, although the names and some minor details have been changed to preserve anonymity." If the group is interested you can also inform them that the final script was vetted by a U.S. military officer, a civilian organizational change expert, and a Kenyan cultural expert.

Instructor Note: This video should be viewed differently than previous videos. Please pause the video and have the group answer the questions in yellow font each time they are posed as text in the video.

Prepare your class for the video by asking them to look for the answers to this statement as they watch: "Watch this video to consider what works, what doesn't, and why."



SHOW VIDEO: Module 4, Part 3: Critical Incident



GROUP DISCUSSION:

Instructor Note: Pause the video each time yellow text appears on screen; ask your group to address the questions on screen. **NOTE: Text in white, even if questions, do not signify stopping points.** There are two stopping points during the video, and one at the end. See Appendix Q, for the critical incident script.

If time permits, you can ask the following additional questions: Think of your upcoming deployment.

- What do you anticipate will be the biggest challenge when facilitating change in other countries?
- What are some of the frustrations you have experienced when working with host nation troops, commanders, or counterparts during past deployments?
- What strategies did you learn as part of this curriculum which you see yourself using with your counterpart(s)?



CURRICULUM REVIEW: Ineffective/Effective Attitudes and Strategies for Building and Sustaining Foreign Organizations

Instructor Note: This is the closing activity and should serve as a review of the entire curriculum.

Present blank quad chart on white board with the heading 'Effective Attitudes' written on top left; 'Ineffective Attitudes' on bottom left; 'Effective Strategies' on top right; and 'Ineffective strategies' on bottom right. Briefly explain to students what each quadrant of the blank chart represents. For example, you could say, 'This curriculum focused on building and sustaining foreign organizations. Please take a few minutes and identify as many effective and ineffective attitudes and strategies for facilitating change in foreign organizations you can remember from the curriculum and group discussions.' Have the class take five minutes to fill out chart on their own (see Appendix R for a blank form to give your students to fill out).

After five minutes have the class discuss the effective and ineffective attitudes and strategies that were highlighted in training. Instructor records them in blank chart on white board (or other medium).

Instructor Note: Here are some examples of the kinds of attitudes and strategies that might be included:

<p>Effective Attitudes:</p> <ul style="list-style-type: none"> • HNs can and should lead their own efforts • HNs know what works in their contexts and can plan, communicate, seek buy-in and execute • Listening is key to success • People are competent until they prove otherwise 	<p>Effective Strategies:</p> <ul style="list-style-type: none"> • Appreciative inquiry (4 D's) • Sincere interest and belief in counterparts' stories, needs, abilities, and ideas • Active listening • Building on the positive/strengths • Celebrating small wins/milestones • Planning in a locally-viable way
<p>Ineffective Attitudes:</p> <ul style="list-style-type: none"> • HNs are incompetent • HNs are apathetic, passive, and lazy • HNs can't learn, or aren't interested in learning • HNs can't be trusted • HNs are corrupt 	<p>Ineffective Strategies:</p> <ul style="list-style-type: none"> • Deficit- and problem-based thinking • Directive behavior • Making process advisor-centered • Allowing unreasonable expectations or strategies to flourish • Discouraging communication: naysaying and criticizing • Disrespectful behaviors, e.g., networking without allowing counterpart to make introductions • Doing the work for your counterpart

Figure 5: Effective and ineffective attitudes and strategies reference chart.

SUMMARY:

By the end of the curriculum, the following goals should have been accomplished:

- The student will be introduced to a universally applicable organizational change process and the rationale for the process.
- The student will be familiar with the steps for building and sustaining organizational change, including
 - relationship-building;
 - learning about individuals, organization, and contexts;
 - achieving buy-in and then working to help counterparts move through the 4-D process; and
 - leading from behind to create sustainability.
- The student will recall that Appreciative Inquiry is the cornerstone of the curriculum, and the notion of leading from behind is key to long-term success.

References

There is a vast amount of literature on the topic of organizational change in Western cultures, but much less has been written about organizational change in collectivist cultures. The resources below are useful for information addressed in this curriculum.

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Appendix A

Organizational Change Module Overview

MODULE 1, Part 1:

Overview:

In this video, you will learn about strategies for long-term success in your efforts to help host nation counterparts build and sustain their organizations. You will learn how organizational change efforts need to be tailored to be effective in collectivist cultures.

Summary:

In this video, you learned to

- avoid the “diagnose and fix” deficit-model approach
- look for common ground and overlapping goals with counterparts
- better understand counterparts and their organizations
- Consider personal, cultural, and organizational contexts

MODULE 1, Part 2:

Overview:

In this video, you will hear about strategies that can be used to learn about counterparts’ organizational culture, be strengths-based, and recognize resistance.

Summary:

A strengths-based approach

- develops and encourages counterparts up rather than making them feel deficient
- motivates counterparts to plan and take action
- reduces resistance and learned helplessness

MODULE 2, Part 1:

Overview:

In this video, you will learn why building strong respect- and trust-based relationships are your best strategy in helping counterparts build and sustain their organizations.

Summary:

In order to build strong relationships with your counterpart, you need to

- take your time
- get to know your counterpart as an individual
- encourage your counterpart to tell stories about his desired future
- be transparent about your mission responsibilities
- monitor your attitudes and nonverbal communication
- presume competence

MODULE 2, Part 2:

Overview:

In this video, you will learn how past experiences inform your counterparts' attitudes toward you to repair relationship problems.

Summary:

In order to sustain relationships, you need to

- understand past and present contexts that inform your counterparts' attitudes toward you
- build networks with the help of your counterpart, not by bypassing him
- seek information corroboration from those outside the networks discretely
- understand cultural and economic differences that shape individuals' choices and apply strategies to help counterparts contribute to their organizations in ways where all can benefit
- understand what is true corruption versus what is economic need or cultural values and norms

MODULE 2, Part 3:

Overview:

In this video, you will learn about the history of development ideologies since the end of World War II.

Summary:

Since World War II, international development efforts have evolved considerably, from

- 1) doing "for" the people – which often creates learned helplessness
- 2) working "with" the people
- 3) developing plans and projects "by" the people (the most effective of all). In the 'by' approach, counterparts are the instigators, implementers, and sustainers of their own efforts. If done skillfully, support from advisors can be very helpful to individuals leading their own change efforts, and result in more long-term success.

MODULE 3, Part 1:

Overview:

In this video, you will learn why a strengths-based approach works best for build and sustain efforts in non-Western cultures. The video also explains that it is possible to collaborate with your counterparts by helping them lead the way toward goals they believe in and are willing to work toward and then sustain. In the second half of this video, you will learn about appreciative inquiry and its sequential stages: Discover; Dream; Design; and Deliver.

Summary:

Successful strategies for a strengths-based approach, such as Appreciative Inquiry

- focus counterparts on their core strengths
- encourage story-telling and strengths-based planning
- are data-driven and based on positive dialogues
- help people identify their desires and take action
- can be used with other strategies, such as monitoring and evaluation approaches

MODULE 3, Part 2:

Overview:

In this video, you will learn how to ask positive, open-ended questions that will guide the conversations you and your counterparts will have as you progress through the 4-D process (Discover, Dream, Design, Deliver).

Summary:

Good appreciative inquiry conversations are based on

- questions that make people talk about what they are proud of as individuals and members of their organization
- open-ended questions that get to the “how” and the “why” of their strengths
- values, beliefs, and concerns that affect how counterparts feel and how they think
- indirect communication and having goals and plans be *their* idea

MODULE 3, Part 3: Role-play

Overview:

In this pair of videos, you will see two conversations between a civilian agricultural advisor and a host counterpart. In the first video, you will learn how a traditional Western “deficit-based” approach can alienate a host counterpart. In the second video, you will see how quickly an appreciative inquiry approach can build a relationship and motivate a counterpart.

Summary:

These videos show how a problem-based approach and a strengths-based approach can result in different outcomes that are expressed through

- nonverbal behaviors: frowns/cool affect vs. smiles/warm affect
- types of inquiry: negative judgments vs. admiration and curiosity
- counterpart communication: interrupted, short answers vs. expansive story-telling
- solutions: advisor tries to solve problems vs. counterpart suggests next steps
- future relationship: counterpart discourages vs. counterpart invites advisor to return

MODULE 3, Part 4:

Overview:

This video explores why taking time to reflect and check your thinking are very important to drawing accurate conclusions, especially in a cross-cultural context.

Summary:

This video shows why and how to

- check your thinking so you can understand how we move from observable data to a judgment about something
- understand how your past experiences, cultural context, and biases affect you
- apply alternative explanations for things and slow down to look at how fast you climb the "Ladder of Inference"

MODULE 4, Part 1:

Overview:

This video offers strategies for achieving buy-in and encouraging local leadership so that change efforts have the best chance of success.

Summary:

To achieve buy-in and encourage local leadership

- ownership needs to be based in the local people
- indirect communication is sometimes best
- intangible incentives are often the most effective choice
- start small and build from there
- counterparts must have a stake in how change happens and in the outcome
- consultation and support from you works best

- fade your influence and your visibility – work yourself out of a job

MODULE 4, Part 2:

Overview:

This video teaches that strengths-based organizational planning should include standard organizational planning components, such as task assignment and monitoring and evaluation. However, to ensure success these components must be counterpart-led, as inclusive as possible, full of communication, and appropriate to the local context.

Summary:

To help counterparts sustain their organizational change effort the advisor should

- celebrate their achievements with them, including incremental successes
- manage your and their expectations
- help them set the timeline, milestones, and evaluation metrics they'll need
- use appreciative inquiry to understand causes of resistance and help them make adjustments as needed
- support ongoing positive dialogue about the growth process
- discourage fault-finding, blaming or punishments when there are disappointments

MODULE 4, Part 3: Critical Incident

Overview:

This three-part video is a critical incident made from a true story of a U.S. Army officer advising a host nation counterpart. The officer faces a number of challenges related to collaborative planning, counterpart resistance, and incentivizing to try to achieve buy-in. The film is based on a true story with some details added and some changed to preserve anonymity. There will be three stopping points where you will be asked to reflect on what the officer should do or has done.

Summary:

This critical incident shows how

- Advising for organizational change in a collectivist context takes time and may have small successes and challenges along the way to long-term success.
- Understanding a counterpart's motivations and concerns is key to helping co-create sustainable change.

Appendix B

Further Reading

The following citations provide a list of additional reading.

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Appendix C

Glossary

Appreciative Inquiry: Appreciative Inquiry is the cooperative search for the best in people, their organizations, and the world around them. It involves systematic discovery of what gives a system 'life' when it is most effective and capable in economic, ecological, and human terms. AI involves the art and practice of asking questions that enhance a system's capacity to achieve positive potential. For more information see "Cooperrider, D. L., & Whitney, D. (2005). *Appreciative Inquiry: A positive revolution in change*. San Francisco, CA: Berrett-Koehler Publishers."

Authoritarianism: Authoritarianism is an orientation favoring complete obedience or subjection to authority as opposed to individual freedom. Also refers to a governmental or political system, principle, or practice in which individual freedom is held as completely subordinate to the power or authority of the state, centered either in one person or a small group that is not constitutionally accountable to the people.

Box Model: The box model is the name of a strategy for working to forge understanding and possibly buy-in or agreement between two different hierarchical structures. For example, if a U.S. military leader is supporting a counterpart in an organizational change effort, and buy-in from the top of the counterpart's leadership is essential, a leader can go to his superior and ask him or her to work toward buy-in with a person of equivalent rank in the counterpart chain of command, such that it has desired influence up and down both chains of command.

Capacity-building: Capacity-building is a conceptual approach to development that focuses on understanding the obstacles that inhibit people, governments, international organizations, and non-governmental organizations from realizing their developmental goals; capacity-building means finding a way to enable entities to move toward greater realization of goals, self-sufficiency, and sustainability.

Collectivism: Collectivism is the practice or principle of giving a group priority over each individual in it. Collectivism is a basic cultural element that exists at the other end of the spectrum from individualism. Collectivist orientations stress the importance of cohesion within social groups (especially "in-groups" such as family, clan, sect, or tribe). Collectivists tend to value harmony, are very loyal to people with whom they are closely connected, and prefer indirect communication.

Colonialism: Colonialism is a practice of domination, which involves the subjugation of one people to another. Colonialism is the establishment, exploitation, maintenance, acquisition and expansion of colonies in one territory by people from another territory. It is a set of unequal relationships between the colonial power and the colony, and between the colonists and the indigenous population. The European colonial period was the era from the 1500s to the mid-1900s when several European powers established colonies in Asia, Africa, and the Americas.

Cross-cultural: This adjective describes a dynamic that involves two or more different cultures or countries. It often means comparing or otherwise dealing with two or more cultures in ways

that span cultural boundaries, seek cultural understanding, or work toward a universal way of relating across cultures.

“Deficit-based” or “Diagnose and fix” model: The traditional approach to organizational change is to identify and diagnosis a problem, then find a solution. The primary focus is on what is wrong or broken. By paying attention to problems, difficulties are emphasized and amplified.

Dependency behaviors: Long-term provision of aid to people in need of assistance has been associated with evoking behaviors that create dependency on external entities for prolonged, perhaps permanent support. Those exhibiting such behaviors may lose the motivation to work to improve their own livelihoods, or may deliberately reduce their effort in order to qualify for aid. Dependency behaviors are the antithesis of being self-reliant and self-sustaining.

Development / international development: These terms generally refer to a multi-disciplinary approach to supporting the development of greater quality of life for humans. It can include healthcare, civil institutions, education, infrastructure, economic stability, human rights, and focus on the environment . International development is different from simple development in that it is specifically composed of institutions and policies that arose after the Second World War. These institutions focus on alleviating poverty and improving living conditions in previously colonized countries. Historically, development included a lot of direct aid, but recent models focus instead on capacity-building with the goal of self-sufficiency.

Ethnocentrism: Ethnocentrism is a focus on one’s own group or culture, and possibly a belief in the superiority of that group or culture. More broadly, it means judging other ethnic groups from the point of view of one’s own culture. Ethnocentrism can lead to erroneous assumptions about others' ways based on our own limited experience and/or knowledge.

Face-saving and face-giving: Face-saving prevents loss of dignity and self-esteem in private or public settings. It can be an interpersonal dynamic – that is, a person can help save, or build, another’s “face.” In collectivist cultures, it is a term linked with honor and reputation, especially in front of one’s in-group or community. Face-giving can be an intangible incentive to encourage behavioral change. For instance, one can give face by publicly recognizing someone’s effort or achievement.

Generative: Generative is an adjective that means creating or producing, often something new or expanded. An example is appreciative inquiry, which generates the telling of stories and the articulation of positive desires and possible actions related to the future. Something that is generative can be either positive or negative.

Human development approach: This approach to development holds that the well-being of people should be the focus of efforts, not the well-being of political systems or nation-states. The approach, which was first popularized in the 1990s and is still very respected, perceives people as capable of growth, deserving of basic rights (as outlined, for example, in the United Nations Millennium Goals), and the key to better management of shared resources on the planet. The United Nations strongly advocates this approach: “The work of Amartya Sen and others provided the conceptual foundation for an alternative and broader human development approach defined as a process of enlarging people’s choices and enhancing human capabilities (the range of things people can be and do) and freedoms, enabling them to live a long and healthy life, have

access to knowledge and a decent standard of living, and participate in the life of their community and decisions affecting their lives.” (<http://hdr.undp.org/en/humandev/origins/>)

Human systems approach: This perspective holds that the world is one interconnected and interdependent system – usually of a capitalist nature – and that it is not possible to affect any part of the global system without impacting other parts. Thus, the social dynamics of the world should be studied as a complex system, not as a set of discrete units.

Incentives: Incentives are things, whether intangible or tangible, that motivate someone to do something. Intangible incentives can be more effective than tangible ones when the goal is sustainability and self-sufficiency.

Indirect communication: Indirect communication is a means of communication in which most of the information is either in the context or is already understood by the other person so that the actual message is oblique and subtle. Common in collectivist, high-context cultures, the speaker does not express his intention in an explicit way, but expects the listener to understand based on shared context. In contrast, direct communication, prevalent in the U.S., contains the message very clearly in the speech and does not rely on context much (i.e., it is low-context). Direct communication can be perceived as rude and offensive in collectivist contexts.

Individualism: Individualism is a cultural orientation which places importance on the individual and the values of self-reliance and personal independence. It is correlated with the belief that the needs of each person are more important than the needs of the whole society or group. Very common in the U.S., individualism facilitates a focus on one’s own goals rather than the goals and well-being of the family or community. Collectivism is the other end of an individualism-collectivism spectrum.

Inference: Inferring is the act or process of deriving logical conclusions from evidence known or assumed to be true. An inference is the product of that process, meaning the conclusion or judgment that is reached. A key concept is that inferences may or may not be correct.

Ladder of Inference: The Ladder of Inference describes the thinking process that we go through, usually without realizing it, to get from a fact to a decision or action. Along the way we make assumptions which are greatly affected by personal experience, bias, and our own cultural orientation. The Ladder of Inference is a tool to understand how quickly we may arrive at incorrect judgments and to slow down and better understand our thinking processes. The Ladder of Inference uses several strategies to double-check our reasoning (See Appendix N for more information on this topic).

Learned helplessness: This is a condition in which a person or community suffers from a sense of powerlessness, arising from a failure to be self-sufficient, self-determining, or successful. It is thought to be one of the underlying causes of depression because it is a reaction to feeling unable to change one’s own fate. Learned helplessness can result from doing too much for someone else so that they do not learn how to do for themselves, or believe they are incapable of taking care of themselves adequately. Direct aid, such as donated food or clothing, can lead to learned helplessness by damaging the livelihoods of local workers and making them unable or unwilling to be self-sustaining.

Marshall Plan: The U.S. initiative to help rebuild European economies after the end of World War II in order to prevent the spread of Communism. The plan was in operation from 1948-1952. The goals of the United States were to rebuild devastated regions, modernize industry, and make Europe prosperous again. The Marshall Plan was an early manifestation of international development efforts that the U.S. and other countries undertook in the second half of the 20th century, usually on behalf of developing countries.

Metrics: Metrics are quantitative measures used for measurement, comparison, or to track performance or production. Metrics can also be defined as standards of measurement by which efficiency, performance, progress, or quality of a plan, process, or product can be assessed. Qualitative metrics also exist, but they are harder to calculate because they are often more subjective or language-based. A survey can contain both quantitative metrics (such as 1-10 scales of rating) and qualitative metrics (comments about the topics in the survey). Performance metrics are generally quantitative metrics used to measure whether tangible progress is being made in a given time-frame.

Modernization theory (modernism): This theory of development popular in the 1950s and 1960s argues that growth and “progress” are important goals, and that poor countries can develop in much the same way as wealthy countries. The theory looks at how growth has been achieved in the past and can be made to happen in different contexts in the future. The theory looks at the internal factors of a country and identifies the social variables that impact the development of societies.

Monitoring and evaluation: These are the systematic and routine collection and interpretation of information from projects and programs to check on and evaluate progress. Monitoring is a period task (i.e., occurs during a defined interval of time) that documents changes from the baseline (i.e., an identified starting point), based on the change plans that were made. Evaluation is the objective, systematic assessment of a project, often after it is complete. Both qualitative and quantitative measures can be used during monitoring and evaluation.

Objective vs. Output vs. outcome: An objective is what we are aiming to achieve while an output involves an action taken in service of a goal or objective. Outputs are typically specific and measurable but reveal little about what is actually being achieved. An output could be in the form of a good or service, such as delivery of refugee tents or provision of a water purification system. On the other hand, an outcome is the result or payoff from the action taken to carry out an objective. It's the difference between what we do and what difference it actually makes.

Particularism: Particularism is a cultural orientation that privileges relationships and context over strict rules. It is common in collectivist cultures and is the other end of the spectrum from universalism. In practice, particularism may mean that contracts are easily amended, family or other in-group connections are privileged in decision-making, and human affiliations are more important than objective standards. A judge in a particularist context, for example, would be more likely to have details of the context of the case affect his or her judgment than a judge in a universalist setting.

Resistance: Resistance is the refusal to accept something new or different, or that one disagrees with or just does not want. Resistance is an effort made to prevent someone or something from

having an effect. Cultures that value tradition and continuity – such as collectivist cultures – may be more resistant, that is they may be more reluctant to undertake certain kinds of change.

Stakeholder: A stakeholder is a person with an interest or concern in something. In many contexts, stakeholders are considered to be anyone affected by an action. In an organizational context, stakeholders include all leaders and employees within the organization, and may also include anyone affected by the organization, such as their families, the local community, as well as anyone impacted by the activities or products of the organization. Neglected stakeholders will often show resistance to change, thus it is important to define the notion of stakeholders broadly, taking all potentially impacted people into account.

Strengths-based approach: A strengths-based approach is one that is not primarily focused on problems, defects, or deficits, and how to remediate them. Instead, it is focused on strengths within a person or organization, and strategies for marshaling those strengths in service of positive goals. Medicine as practiced according to the Western model is frequently an example of a “deficit-based” approach, whereas other healthcare models are based more on prevention and self-care, the “strengths” side of human health. An important strengths-based approach to organizational change is Appreciative Inquiry, which identifies existing strengths and leverages them to build a desired future.

Sustainability: This concept means being capable of lasting a long time or forever without becoming overly depleted. Sustainability can also refer to methods and processes that promote long-lasting performance, well-being, and productivity. The concept has been applied to agriculture, environmental stewardship, health care, and government agencies. In an organizational development context, it means that the local stakeholders have the skills, resources, and tools necessary to maintain a functional organization without help from outsiders. In order to achieve sustainability, local initiative and effort are essential.

Universalism: This is the rule- and law-based orientation of the United States and Western Europe that holds that fairness is achieved when everyone follows the same rules, no exceptions. It is at the opposite end of the continuum with particularism. Universalism is common in individualist/low-context cultures and particularism is common in collectivist/high-context cultures.

World systems approach: This theory of development, which was popular in the 1970s and 1980s, holds that it is not possible to consider nations or cultures in a vacuum, since, in an increasingly globalized world, all nations are interconnected. This view sees the world capitalist system as transcending borders and is interdisciplinary and global in its approach.

Appendix D

Video Consultants' Biographical Information

Dr. Kent Glenzer is an Associate Professor in Organizational Behavior and Development at the Monterey Institute of International Studies, with a focus on organizations; political culture and power; evaluation; nonprofit management and organizational behavior; and development and development agencies. He has collaborative and/or consulting relationships with Oxfam, CARE, and other international organizations. He has worked extensively in Mali, Ethiopia, and Mozambique, and has consulted in China, Cambodia, Bangladesh, Haiti, and Peru. He specializes in Africa, and has experience in Sierra Leone, Dakar, Togo, Niger, Sudan, Egypt, Kenya, Uganda, Rwanda, Tanzania, Lesotho, Zambia, Angola, Djibouti, Somalia, Burundi, Madagascar, Swaziland, Zimbabwe, Cote D'Ivoire, and Benin.

Dr. Revi Sterling is the director of Information and Communication Technologies for Development (ICTD) at the ATLAS Institute at the University of Colorado (CU). Dr. Sterling was named a fellow at the Society for New Communications Research, which is a global, non-profit think tank focused on developments in media and communications. She consults widely for the United Nations and other multilaterals, as well as foundations and high tech companies. Previously, she worked with Microsoft for 10 years. Dr. Sterling has conducted longitudinal field projects in Africa, India, and South America; she also conducts research and consulting in community readiness, field ethics, failure analysis, and gendered dimensions of technology and development. Dr. Sterling has expertise in program design, evaluation, and cross-industry collaboration. She has worked in Kenya, Uganda, South Sudan, Morocco, Zambia, Zimbabwe, Namibia, South Africa, Peru, Colombia, Ecuador, Panama, Mexico, India, Nepal, Pakistan, and Indonesia.

Dr. Paulette M. Bethel is an experienced business advisor dedicated to the transformational growth of leaders, organizations, and teams. She offers specialized expertise in leadership development from a cross-cultural perspective. Dr Bethel has a Ph.D. in International Education and Entrepreneurship and is a retired Officer in the U.S. Air Force, where her longest deployments were to Turkey and the Philippines. She has also worked in China, Korea, Japan, Okinawa, Italy, Belgium, Germany, and England.

Appendix E

Universalism Versus Particularism (Rules Vs. Relationships) Worksheet

Differing cultural orientations (both yours and your counterparts) can impact organizational change efforts. Understanding how cultural paradigms tend to manifest themselves in individuals and organizations should lead to stronger working relationships and greater mission success. Universalism and particularism are one example of a cultural paradigm that has been shown to influence the pace and achievement of organizational change. Universalism is the rule- and law-based orientation of the United States and Western Europe that holds that fairness is achieved by everyone following the same rules, no exceptions. It is at the opposite end of the continuum with particularism, which places greater emphasis on personal relationships and context over strict rules. Particularism is more common in high-context, collectivist cultures.

General orientation:

Universalist	Particularist
1. Focus more on rule than relationships	1. Focus more on relationship than on rules
2. Legal contracts are relied on	2. Legal contracts are readily modified
3. A trustworthy person is one who honors his/her word or contract	3. A trustworthy person is the one who honors ties and affinities
4. There is only one truth or reality, that which has been agreed to	4. Recognize that perspectives may vary from person to person
5. A deal is a deal	5. Relationships evolve

Universalists' expectations, as stated in Trompenaars and Hampden-Turner (1997), are presented in the left column and particularists' expectations are presented on the right. Enter what you think either group might expect and culturally prefer in contrast to the other group. Remember that these are only norms and may not pertain to an individual.

Expectations and cultural preferences:

Universalists	Particularists
1. Strive for consistency and uniform procedures	1.
2.	2. Try to informally alter accustomed patterns of activity
3. Modify the system so that the system will modify you	3.
4.	4. Pull levers privately
5. Seek fairness by treating all like cases in the same way	5.

Using the expectations and preferences above as a guide, brainstorm strategies for working with either universalists or particularists. Additional thoughts regarding the impact of cultural orientation on change efforts can be recorded below the table for further discussion.

Tips for working with:

Universalists	Particularists
1. Be prepared for 'rational' 'professional' arguments and presentations that push for your agreement	1.
2.	2. Do not take personal, "get to know you" attitudes as small talk
3. Prepare the legal ground with a lawyer to record an agreement	3.

Appendix F

For/With/By Theories of International Development

Throughout the history of international development work, advising approaches have evolved, moving away from seeing communities as separate from the development process to seeing their capacity as the primary catalyst for development. Booy, Sena, and Arusha (2000) provide a brief history of development which is abbreviated here.

Change FOR the People

The Marshall Plan post WWII led to modernism or modernization theory – the notion that with assistance developing countries can “modernize” to become like developed countries. Under the Marshall Plan the priority was on capital and technical investments to get countries back on their feet. This approach was highly successful in European countries devastated by the war, as they had an educated population that lacked infrastructure. Unfortunately this approach did not work as well in countries with a history of colonialism and corruption, and that often lack capital and infrastructure. Moving forward a different model was needed.

Change WITH the People

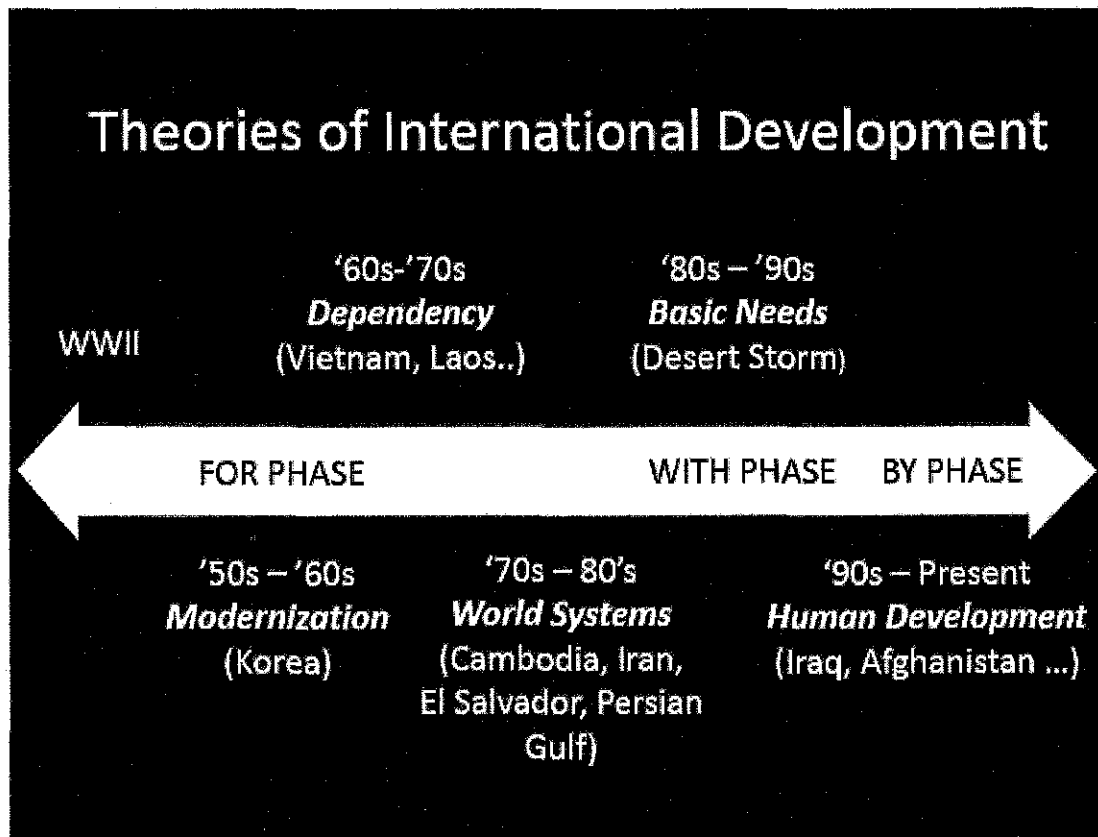
The awareness that the Marshall plan was appropriate for a specific time and place led organizational change experts and international development professionals to more participatory methods of working with other countries. Over time, the emphasis shifted from doing things FOR the people, to empowering people to be more independent and able to analyze their own problems and needs and formulate their own strategies. The 70s and 80s saw global economic development and the emergence of the World Systems approach which focused on globalization, and considered all countries in the world to be inextricably interconnected. People began to realize that despite industrial development and international trade, the majority of people in the world were still struggling to survive. The 80s and 90s saw a focus on basic needs which emphasized reducing absolute poverty and increasing individuals’ ability to have adequate food, clothing, shelter, health care, and education.

While change WITH the people focused on collaborative work between the local population (the stakeholders) and advisors, in reality the ideas and goals for change were often designed by advisors, not the stakeholders. International development experts began to realize that (1) when advisors did too much of the work, it often led to learned helplessness among the local population, and (2) when the stakeholders did not believe in the goals (i.e., there was no buy-in), success and sustainability for change efforts was harder to achieve.

Change BY the People

The most recent approach to development is the Human Development approach. Rather than focusing on creating economic growth, this approach focuses on increasing the choices and opportunities people have in their daily lives through improved health care, education, and

economic opportunities. The Human Development approach is believed to motivate people to improve their lives and communities because the people get to work toward their own goals and the better future they have envisioned. This approach differs from the BY and WITH approach as, ideally, the stakeholders conceive of, plan, execute, and sustain the work. This has been a barrier in recent years between the military and some aid organizations, as aid and development communities have moved towards the Human Development approach at a faster pace than the military.



Appendix G

What is Appreciative Inquiry?

This Appendix presents an overview of Appreciative Inquiry. Appreciative inquiry is an approach to organizational and community development that has been used successfully worldwide to cultivate hope, build capacity, and bring about positive change (Browne & Jain, 2002). It is based on the idea that humans move in the direction of what they are asked about. When groups focus on human problems and conflicts, they often inadvertently magnify the very problems they had hoped to resolve. Conversely, when groups study positive human values and achievements, like peak experiences, best practices, and worthy accomplishments, these phenomena tend to flourish. AI deliberately asks *positive questions* to ignite constructive dialogue and inspired action within organizations and communities. Change research shows that community innovation methods that compel groups of people to envision positive images of the future – grounded in the best of the past – have the greatest potential to produce deep and sustaining change and to inspire collective action.

Appreciative Inquiry differs fundamentally from traditional problem-solving approaches (Cooperrider, Sorensen, Whitney, & Yaeger, 2000). The basic assumption of problem-solving methodologies is that people and organizations are *broken* and need to be fixed. The process usually involves (1) identifying the key problems, (2) analyzing the root causes, (3) searching for possible solutions, and (4) developing an action plan. While powerful in diagnosis, deficit-based analysis – or examination based on scrutiny and faults – tends to undermine human motivation because it creates a sense of threat, separation, defensiveness and deference to expert hierarchies.

In contrast, the underlying assumption of appreciative inquiry is that people and organizations are full of assets, capabilities, resources, and strengths that can be located, affirmed, leveraged and encouraged. There are a variety of AI models that guide how Appreciative Inquiry is practiced, but all of them are based on

- choosing the positive as the focus of inquiry
- inquiring into stories of positive change
- identifying themes that appear in the stories and selecting topics for further inquiry
- creating shared images of a preferred future
- finding innovative ways to create that future

Through constructive dialogue, trust is built, new possibilities are imagined, and new partnerships are created to bring the desired future into being. The classic AI 4-D cycle includes: (1) **discovery** (valuing); (2) **dream** (envisioning); (3) **design** through dialogue; and (4) **delivery** (co-constructing the future).

Strengthening (Our) Questions

As Browne and Jain (2002) explain, every question has a direction. Where it leads depends on its [often] hidden assumptions. Few questions are neutral; most carry a generative or destructive

energy. As Browne and Jain state, "Our choice of questions has a moral impact. 'Why can't you ever do anything right?' presumes and creates an identity of incompetence. 'What crime will 'you people' commit next?' enflames violence. 'Who made such a stupid decision?' looks to assign blame. 'How can we get even?' rallies support for retaliation. 'Why bother to invest in a lost generation?' reinforces despair about the future."

Browne and Jain (2002) go on to discuss how questions can also inspire, intrigue, delight, clarify, invite, and build community. They can create pathways to positive experiences and emotions, stimulate reflection on issues of importance, and help people notice what is of value. "How did you learn to do such a good job?" honors an individual's skill and generates useful information about creating a path to work for others. "How can we support and learn from your organization?" assumes there is much to be learned and invites relationship building and trust. "How can we get this done now and how can I help?" infers confidence in an idea and a readiness to act on it, building solidarity and momentum to move forward. A positive connection is reinforced by asking "What makes you glad to live in this country?" Shifting ownership of the future to citizens is activated by "What can you do to make a difference?"

Appreciative Inquiry organizes sequences of positive questions around constructive topics. The difference can be seen by citing the example of a conversation Browne and Jain (2002) had with a high school class who wished to learn about their community. Four of the teams had originally chosen "crime" as their area of study and designed questions to ask the local police chief. She asked them why they wanted to investigate crime. They said it was because they felt unsafe. "What is it that you want?" she asked. After struggling with the question, they finally responded, "I guess we want to feel safe." Browne asked, "How do you think you're likely to feel after you ask the police chief about crime in your neighborhood?" A girl responded that they would likely feel more scared because they would find out about more bad things that might happen to them. Browne suggested, "What if you asked him instead about community safety, important practices that support it, what the police are proud of having accomplished, what actions students might take to protect yourselves and make the neighborhood safer?" The high school class acknowledged that such an interview would likely increase their respect for the police and their awareness of security strategies they could use.

Appendix H

The Four Ds: Discover, Dream, Design, and Deliver

This Appendix gives a short summary of the four phases of Appreciative Inquiry, and ideas for questions that one might use when working on build and sustain efforts with organizations overseas. The phases below are described in more detail by Vogt, Brown, and Isaacs (2003).

Phase: Discover

Purpose: To discover the existing individual and organizational strengths that can be used to create an even better organization. Your discovery should reveal pride, generate hope, and stir the imagination of your counterpart.

Question Format: Questions should be designed to look for the best of what has happened in the past, and to identify what is currently working well. Questions should prompt people to tell stories about individual and organizational factors that contribute to success.

Sample Questions

- What about your organization makes you feel proudest?
- How did you contribute to making that happen?

Phase: Dream

Purpose: To help your counterpart dream of a better future for him or herself and the organization.

Question Format: Questions should help counterparts articulate the future they want and should elicit a vision of the way forward.

Sample Questions

- What is your vision for the future?
- What do you most want to see happen for your organization?

Phase: Design

Purpose: To design strategies, tasks, and roles together to create that future.

Question Format: Questions should identify what is needed to support the vision identified during the Dream phase. Questions should be designed to identify systems, processes, and strategies that will enable the dream to be realized.

Sample Questions

- What needs to happen to make your vision possible?
- What strengths of yours or your organization can be applied to that effect?

Phase: Deliver

Purpose: To help your counterpart deliver sustained long-term success.

Question Format: Questions should focus on how to sustain proposed change. Questions should also elicit specific steps your counterpart will take to accomplish the vision and objectives identified in earlier stages.

Sample Questions

- What strategies will be most effective for monitoring the design?
- What will ensure the change is thriving in five years and what support do you need?

Appendix I

Crafting Appreciative Questions Guide and Examples

*"Human systems grow toward what they persistently ask questions about."
-David Cooperrider and Diana Whitney*

This Appendix provides ideas discussed by Browne and Jain (2002) for designing your own questions, as well as examples of questions you might use in your own work adapted from Browne (n.d.).

To design good appreciative inquiry questions, remember to do the following:

- Ask about ultimate concerns (e.g., "What do you value most?").
- Base questions on positive assumptions (e.g., "What about this organization makes you especially glad you work here?").
- Enhance the possibilities of storytelling by asking questions about personal experience (e.g., "Thinking back on your year, please share a high point when....").
- Phrase questions in a conversational, friendly tone.
- Ask open-ended questions to which you do not know the answer, and expect to learn something interesting and important (open-ended questions cannot be answered "yes" or "no").
- Work to inspire new thoughts without evoking defensiveness or hostility (e.g., "How might we increase commitment to change?" versus "How might we fix the identified problem?").

Exemplars by Phase

Phase: Discover (can be tailored for the organizational level as well)

- What do you (or your organization) do really well? What are you most proud of having accomplished?
- What do you consider some of the most significant trends, events, and developments shaping the future of your organization?
- What has motivated you to get engaged as a leader?
- There are inevitably high points and low points, successes and frustrations within every organization. What stands out for you as a high point within your organization?
 - Please describe what happened and who was involved.
 - Which of your (or your organizations) strengths and talents were called upon in this situation?
 - What contributed most to the success of the effort?
 - What did you learn about change from this situation?
- What do you value most about your work?
- Which objectives do you feel you have succeeded in meeting?
- What else contributed in an important way to enabling you to do your best work here (e.g. ... management, co-workers, professional development opportunities, clients, other context and structures)?

Phase: Dream

- Imagine a time in the future when people look to your organization as an exceptional example of a thriving agency. In this future, how are members engaged? What is true of the leaders? What is sustaining their dedication? In this future, what kinds of systems and structures work best and why?
- If you could improve your organization, how would you do it and why? What would you keep the same and why?
- What do you hope to accomplish at this organization? What will success look like? Why is that important to you?
- If you could create any work environment that would bring out your very best, what would it look like? What would you ideally be doing? With what kind of people would you be working?
- Imagine your team or group working at its very best this coming year. What is happening that builds on this year's successes? What has changed that has improved the group's effectiveness?

Phase: Design

- What are the areas where you feel more work or member engagement could have the most impact on improving the quality of the organization?
- As you reflect on successful ways people are currently engaged in improving the organization, what stands out as being exceptionally promising? Why?
- What do you feel are the most promising areas in which to expand/grow this organization?
- Who might be interested in working towards this growth, and why do you think they would be interested?
- What would movement toward change look like? What steps would need to take place (i.e., what would happen first, second, etc)? Who would be involved and what would they need to do?
- What can leadership do to keep the progress moving forward? What can you do?
- How can you make sure everyone is on board? If someone isn't, what incentives or further information may help them see the value of the proposed change?
- What communication structures would need to be put in place to reinforce, monitor, and maintain this growth?
- What do you consider to be indicators that you are doing an excellent job?
- What would a better organizational future look like? What steps would you recommend be taken to make that better future a reality?
- What strengths can you leverage to address challenge areas? What strengths can you emphasize to help the changes happen?
- How would roles and tasks be best distributed?
- What specific objectives do you want to set that will maximize your contribution to the organization over the coming year? What additional skills or support do you need to enable you to meet these objectives?

Phase: Deliver

- What small or large changes could we make right now that would really enable the vision we talked about?
- How would you personally like to be involved in growing this organization?
- How can growth best be sustained in the future? How will you contribute to your organization's long-term success? What can others in the organization do to make the benefits permanent?
- Who will provide leadership for this effort?
- What specific ways would you like to contribute to realizing your objectives?
- What is needed to make your action plan happen? How can tasks and roles be organized and communicated so it is clear to everyone?
- How can you make sure everyone stays committed? How will your monitoring plan allow for small adjustments to be made as needed over time?
- What next steps do you plan to take to get, or keep, your colleagues involved?
- If there are challenges with implementation of plans, how can you best reassure and encourage people to keep on working? What strengths can you bring to bear if small adjustments need to be made as the work progresses?
- What other recommendations do you have?
- What is the best way to monitor success? How will everyone know they've made progress or not?
- What support and resources would enable you to accomplish your objectives?
- Please explain what you commit to accomplishing over the coming year and how it will support the organization's mission and key strategic objectives.

Appendix J

Positive and Negative Questions

When individuals, teams, or organizations want to make changes, usually a 'fix it' model is employed (this often involves collecting data, identifying obstacles, and making diagnoses). Alternatively, people can choose to seek out what is already good and right about the individual, team, or organization. The difference is in the questions asked. This chart gives examples of the two models of questioning (personal communication, K. Glenzer, May 2013).

POSITIVE QUESTIONS	NEGATIVE QUESTIONS
What about your organization makes you proud?	What is wrong with your organization?
What does your organization do really well?	What problems would you most like to fix?
What do you really like about your work?	What are you frustrated about in how your organization is run?
Who do you admire in your organization?	Who are the people you find most difficult in your organization?
How can your organization build on those strengths/achievements?	What are the signs that your organization needs improvement? Who or what do you hold responsible for that?
How would you like your organization to be in five years?	What problems can be addressed and fixed?
What current strengths of the organization could help make that happen?	What has been tried before that hasn't worked out?
What strengths of yours would you like to contribute to that better future?	What can you do to improve the weak aspects of your own performance?
How would you like to see the evolution toward the future planned and executed?	What steps should be taken to fix things that need fixing?
How can there be good communication and planning so that everyone feels they have a stake in the work and the outcomes?	What's blocking you?
What incentives would really motivate the people here?	How would you let people know that they really need to cooperate?
How can the organization celebrate small early successes to encourage improvement?	How would you fix the problems you've identified? What are the impediments to getting that done?

Appendix K

Appreciative Inquiry: How and Why Questions

This Appendix helps advisors develop effective inquiry skills by explaining the importance of 'how' and 'why' questions.

How and why questions are often the most profound and illuminating questions in the Appreciative Inquiry process. "How" questions reveal the actual mechanics of getting something done, whether in the past or in the future. "Why" questions reveal underlying values, assumptions, and practices.

When practicing appreciative inquiry, the construction of a question can make a critical difference in either opening counterparts' minds or narrowing the possibilities they consider.

As Vogt, Brown, and Isaacs (2003) explain, the following question construction words are on a continuum from less powerful to more powerful:

LESS POWERFUL ← ————— → MORE POWERFUL
Yes/no Which Who When Where What How Why What If

Consider the construction of the following questions:

- *Are workers in our organization happy at work?*
- *What is it that is making them happy or unhappy?*
- *How can we assess, and perhaps change, management practices to improve work effort?*
- *Why do workers not communicate their concerns to the leadership?*
- *How would it look if workers were invited to help create improved communication strategies? What if management held a weekly meeting where suggestions were welcomed? What changes would be needed to improve trust and respect between management and workers? How could they be implemented?*

As you move from simple yes/no questions to why to what if, the question stimulates more reflective thinking and more creative responses.

When creating questions for an appreciative inquiry approach, you can

- consider what you're hoping to learn/achieve with each question
- assess whether the question is worded to best promote positive thinking, reflection and creativity

Experiment with changing the construction and scope of questions to learn what kinds of questions and question-wording work best.

Appendix L

Problem-centered vs. Strengths-centered Conversation Script

Part 1: Problem-centered Conversation

OMOLO: Ah. Hello, Timothy B. Wright. Please sit down.

Wright: Thank you for meeting with me again. *(pause)* It's hot in here isn't it, sir?

OMOLO: You know, I hadn't really *(thought about it)*...

Wright: You know, we can help you out there. I'll make a note about getting you a new air conditioner. We have a shipment planned for the province next week.

OMOLO: That is very generous of you. I wonder if I could ask you a question, Mr. Wright.

Wright: Of course, sir. My driver's waiting outside though, and we have several offices to check off our list this morning. We're trying to fit everybody in who didn't send us their survey by the deadline.

Wright: I didn't mean to be rude, sir. It's just that I'm on a very tight calendar and I'll have hell to pay back at the office if I don't finish the day's duties. What was your question?

Wright: Actually, how about we start with the problems you face here in the province with regard to agricultural production. What would you like to change?

OMOLO: It's a very big and complicated question. Our farmers are afraid of taking any risks that may leave their families hungry.

Wright: Sure, sir, but taking risks is often necessary to increase production. Now, one director told us that irrigation equipment is a big problem. Another official said that the main problem is lack of fertilizer. And then it seems that good, high quality seeds is another issue. Does that help?

OMOLO: Can I add a fourth?

Wright: Yes, sir.

OMOLO: A fourth problem is that my staff often can't get their visits done before the weather changes. We are—

Wright: Great! That's part 2 of our survey. What are the internal weaknesses of the provincial department of agriculture? I've just marked down staff tardiness and failure to comply. What do you think is going wrong with your strategies?

OMOLO: Well, I think the problem is that the motorcycles are often broken, and my staff can't often visit farmers on a regular basis.

Wright: How about having them consult by cell phone? Will that fix the problem?

OMOLO: No, that won't do.

Wright: What if you hire a mechanic to fix the motorcycles? And then we show you how to do our management information system, to make your work flow more efficient? It works great.

OMOLO: I don't think data management is what we need.

Wright: Well, but, you're not strong in that area.

OMOLO: Our work is built on trust and that is the only way our farmers will be willing to try new seeds or fertilizers. They need to know that it will work because they look someone who knows about it in the eye.

Wright: Okay. Well, we'll get you that air conditioner and some new seeds that increase crop yield. *(pause)* Now, could we do some joint planning for your department? We can demonstrate some great new techniques.... Can I come back next week?

OMOLO: You may come back, but you must understand how deep and old our farming traditions are. We grow the way trees grow – it takes many years to produce new fruit.

Wright: We can help you out there if you'll let us. We have a lot of strategies that we think could make things more efficient and, with luck, increase your crop yield.

Wright: Well, anyway, that new A.C. unit should get here next week. I'll give you a call you when it comes in. Thank you for your time.

Part 2: Strengths-centered conversation

OMOLO: Ah. Hello, Timothy Seawright. Please sit down.

Seawright: Thank you, Director Omolo. It's a pleasure to meet you again. Is this still a good time for you?

OMOLO: It is.

Seawright: Do you still have about an hour or so? I was outside in the car when I saw you come in. You were attending the funeral of one of the village chiefs?

OMOLO: I do have time. I've actually been looking forward to this. Your energizing conversations are the talk of this province. And anyway, the Chief was such a self-absorbed man!

Seawright: I understand.

OMOLO: I received your questions. I confess that they bewilder me. May I ask you a question, Mr. Seawright?

Seawright: What is it?

OMOLO: What brings you all the way out here?

Seawright: Well, here's the thing. You live in one of the oldest societies on earth. And you've been able to ensure basic food security for its people, despite a series of coups, and disastrous policies by your national leaders.

OMOLO: In this we have been very lucky.

Seawright: I think you have capacities, skills, and knowledge here that have shown that. And I am most interested in hearing about how you've succeeded. What are the strengths you have in the province regarding agriculture?

OMOLO: Hmmm. I've never been asked such a question. Everybody comes here and just asks me – or tells me – what I need. [*thoughtful pause*] Let me tell you a story about rising and falling. Six years ago, there was a terrible drought. Our maize was withering in front of our eyes. We are poor; we cannot afford fancy irrigation equipment. So we brought together the leaders of our young people's organizations, our women's organizations, and our herders. And we said: How can we share this burden? Are there ways herders can help farmers? Are there ways fishermen who use the river that runs through here can help by sacrificing now in exchange for support later? It was very, very hard. But I pushed and pushed. What we have here if nothing else is our persistence and connection to this land. We were able to forge an agreement. It saved farmers. I'm so proud of this. I may never do anything more important in this world than that.

Seawright: Wow. That's a powerful story. Can I ask what specific community capabilities did you build on?

OMOLO: We have what I call "the Haraambe or pulling together system." Every person can tell you what they contributed. But here's my answer: what we have here is an unshakeable commitment to the dignity of each other. Here, we do not let people starve. Our human commitment to those of this earth is powerful. And outsiders always want to make us more like what they know somewhere else. It never works.

Seawright: Do you see any way we can build on your "Haraambe" strengths to increase agricultural production here?

OMOLO: I don't know. What is the solution you are selling, Mr. Seawright?

Seawright: I don't have one. But I do have a question: how can I help you build on what your people do best, sir? I mean, I am so impressed at how they collaborated during a time of stress.

OMOLO: Call me Joseph. So, you are asking me not how to change who we fundamentally are, but how to extend what we are good at?

Seawright: Well...you said it better than I could. But yes.

OMOLO: Ok. Well, in that case, I want to formalize our strengths. We do so by celebrating them and creating some practices that we do all the time. Not just when there's a crisis. We can have a rotating system of responsibility for certain parts of our district. That will make the people proud. You must come back here and talk to many more people other than me. I can organize that.

Seawright: Great. When can we do that?

OMOLO: I will call you in a few days.

Seawright: Ok. Thanks. Asante sana. Oh, I'm going to have hell to pay for this delay back at the office. Thank you.

Appendix M

Role-play Roles

Role 1: Advisor

You have only 3 months to accomplish X (make timeline and X congruent with what your class will be expected to accomplish on their deployment). You are meeting with your counterpart this afternoon to establish goals for the next 3 months and to discuss the best way to accomplish your main task (X).

You/your commanders know that transferring certain skills is critical to the local military's ability to be effective. This is not a conflict post but the country is important to U.S. interests in the region. There are conflicts in neighboring countries and in these conflicts the U.S. is supporting pro-democracy elements while other countries are supporting current regimes.

You know that in the past 6 months the number of advisors entering the country has increased, yet the coordination among U.S. advisors needs to be strengthened. Your counterpart has worked with U.S. advisors in the past with mixed results. It is important that the U.S. maintains strong diplomatic and military relationships in the country as this is a strategic site to monitor and support pro-democracy elements in neighboring countries. Thus, building and/or maintaining a strong relationship with your counterpart is also an objective of today's meeting.

Role 2: Counterpart

You are meeting with yet another U.S. Advisor. Your relationship with the last advisor was difficult, as he didn't seem to understand local customs and traditions and was not willing to listen to local concerns. You know this advisor will be on this assignment for only 3-6 months (or time frame of this group) so there is little motivation to work with him. You are not looking forward to working with yet another American.

You are finally meeting to start planning what you will try to accomplish in the coming months (or relevant time frame). Though you've gotten together a couple of times informally, this is your first meeting to start planning together.

Role 3: Observer

Your role is to provide feedback to the advisor on his/her meeting with the counterpart. As you observe the interaction consider the following:

- How did the advisor begin the conversation?
- What was the advisor's focus?
- What was successful in the interaction?
- What was not successful?
- How did the counterpart receive the advisor? Were there any areas of conflict or resistance?
- What was the counterpart's focus? Did the advisor take steps to align his/her goals with those of the counterpart?
- What was the outcome of the meeting (i.e., did the advisor and counterpart establish goals, begin to develop a plan, build rapport, etc.)?

Appendix N

Ladder of Inference

As Pavey (2014) explains, the Ladder of Inference describes the thinking process that one goes through, usually without realizing it, to get from a fact to a decision or action. The thinking stages can be seen as rungs on a ladder. Starting at the bottom of the ladder, are reality and facts which are experienced selectively based on beliefs and prior experience. One then interprets these experiences, applying personal and cultural meaning as well as existing beliefs and assumptions. Individuals then draw conclusions based on the interpreted facts and their assumptions. They develop or revise beliefs based on these conclusions, and finally, take actions that seem "right" because they are based on what they believe.

This can create a vicious circle. Beliefs can have a large effect on what one chooses to pay attention to, and may influence individuals to disregard the true facts altogether. If people do not pay attention to all of the facts, or question their assumptions, they may find that they are jumping to conclusions by missing facts and skipping steps in the reasoning process.

Understanding the Ladder of Inference allows individuals to get back to the facts and use beliefs and experiences to positive effect, rather than allowing them to narrow one's judgment. Following the step-by-step reasoning outlined in the Ladder of Inference can lead to better, reality-based results, enabling individuals to avoid unnecessary mistakes and conflict.

How to Use the Theory

The Ladder of Inference can be used to help individuals draw better conclusions, or challenge the conclusions of others. For example, it can be used to help analyze hard data, such as "Will we have enough resources to actually make this new project work?" or to test assertions, such as "The project will be complete by April." The step-by-step reasoning process helps individuals remain objective; and, when working or challenging others, help groups reach a shared conclusion without conflict (Pavey, 2014).

Pavey (2014) gives three tips for using the Ladder of Inference:

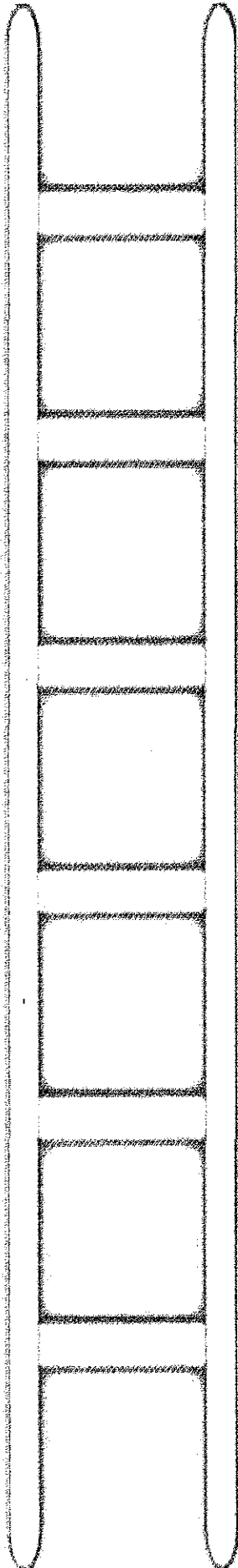
Tip 1: *Use the Ladder of Inference at any of stage of your thinking process.* Use the following steps to challenge thinking using the Ladder of Inference. First, Stop! It's time to consider your reasoning. Second, identify where you are on the ladder. For example, are you: Selecting your data or reality? Interpreting what it means? Making assumptions? Forming conclusions? Deciding what to do and why?

From your current "rung," analyze your reasoning by working back down the ladder. This will help you trace the facts and reality that you are actually working with. At each stage, ask yourself WHAT you are thinking and WHY. As you analyze each step, you may need to adjust your reasoning. For example you may need to change some assumptions or extend the field of data you have selected.

The following questions help you work backwards (coming down the ladder, starting at rung 6 and ending at rung 1): Why have I chosen this course of action? Are there other actions I should have considered? What belief led to that action? Was it well-founded? Why did I draw that conclusion? Is the conclusion sound? What am I assuming, and why? Are my assumptions valid? What cultural or personal details from my background led me to this meaning? What data have I chosen to use and why? Have I selected data rigorously? What are the real facts that I should be using? Are there other facts I should consider?

Tip 2: *When you are working through your reasoning, look out for rungs that you tend to jump.* Do you tend to make assumptions too easily? Do you tend to select only part of the data? Note your tendencies so that you can learn to do that stage of reasoning with extra care in the future. With a new sense of reasoning (and perhaps a wider field of data and more considered assumptions), you can now work forwards again – step-by-step – up the rungs of the ladder.

Tip 3: *Try explaining your reasoning to a peer. This will help you check that your argument is sound.* If you are challenging someone else's conclusions, it is especially important to be able to explain your reasoning so that you can articulate it to that person in a way that helps you reach a shared conclusion and avoid conflict.



Rung 6: Take action based on revised views.

Based on beliefs and feelings created from the previous rungs individuals react, often emotionally rather than rationally. It is critical you challenge your own beliefs and assumptions, analyzing each step of the ladder. Learn to ask yourself WHY you have chosen this course of action. Is it based in reality or more from your own assumptions, etc.? Check in with others to test your thinking.

Rung 5: Draw conclusions and adjust views.

While drawing conclusions and revising or adopting beliefs are sometimes viewed as two separate rungs on the ladder of inference, they are highly related steps that occur at roughly the same time. Informed by assumptions, individuals come to conclusions that lead them to revise or adopt belief(s) or deeply held truths. At this stage, ask yourself, 'What conclusions are my beliefs based on?' and 'Are those conclusion accurate?'

Rung 4: Add own beliefs and assumptions.

The newly added meaning leads to assumptions about motivations, behaviors, feelings, and desires of others – the line between fact, and the narrative you've created, becomes blurred. Ask yourself, 'Are my assumptions valid?'

Rung 3: Add cultural and personal meaning.

Because each individual is influenced by their cultural context, as well as unique personal experiences and characteristics, the subset of information selected takes on specific types of meaning. You have begun to describe and interpret the data. Try to consider alternate perspectives. Ask yourself, 'Is my own background influencing my thinking?'

Rung 2: What we notice and select from the sea of information.

The personal filtering begins – individuals select from available information based on what they find relevant or important. At this step, make sure you are actually selecting from all data points. Ask yourself, 'Are there other facts I should consider?'

Rung 1: Information we observe and experience.

This is the only fact-based rung, based on seeing and hearing.

Appendix O

Objectives versus Outputs versus Outcomes

As Kent Glenzer explained in the video, an **output** involves an action taken in service of a goal or objective. An output could be in the form of a good or service, such as delivery of refugee tents or provision of a water purification system. On the other hand, an **outcome** is the result or payoff from the action taken to carry out an objective. It's the difference between what we do and what difference it actually makes.

- The **objective** is what we are aiming to achieve.
- The **output** is what we actually deliver.
- The **outcome** is the actual results/effect of our output. It cannot be fully measured until the outputs have been delivered, and it may be useful to measure both short-term and longer-term outcomes.

For example, a particular **objective** might be to train indigenous soldiers in marksmanship. The **output** is a series of one-hour sessions explaining and demonstrating techniques and then practicing at the firing range. The **outcome** is that the trained Soldiers are 40% more accurate in hitting riflery targets when tested, and have 50% fewer firearms accidents than the Soldiers who did not take the training.

Counterparts need to design their own objectives and outputs (with your support), and decide how they will monitor and evaluate outcomes. Asking your counterparts how they would know the outcome they want has been achieved will help in this process. If a new school is built, for example, counterparts might identify outcomes such as: they would observe more children attending school in the neighborhood, or teachers would report that attendance is up by 50%.

Here are is an actual example from an international agency:

Oxfam's Strategic Plan 2013-2019 states, "Few people will die, fall sick, and suffer deprivation as result of armed conflict or natural disasters." This objective makes it very explicit what result they want to achieve (outcome). Outputs to meet the first two parts (less death and less sickness) can be created to address this objective, and could include: vaccine campaigns, community health worker visits, diplomatic peace-keeping efforts, etc. 'Few people suffer deprivation' is a more difficult objective to quantify.

- What kinds of outputs could be created to address this objective?
- What sorts of outcomes (both positive and negative) might result from actions taken to achieve the objective (the outputs)?
- Why are measurable results important? What problems do you see with measuring outputs without linking them to outcomes?

Appendix P

Qualitative and Quantitative Metrics

As Chapman and Boothroyd (1988) discuss there are two methods used to measure the results of organizational changes when doing evaluation studies. This Appendix gives a brief introduction to both methods.

Qualitative metrics usually consist of comments or opinions. For example, an initiative to improve host nation soldier morale could involve the qualitative metric: Did soldier morale improve? These metrics are qualitative because the quality of a characteristic is measured, rather than the amount of the characteristic. Qualitative questions introduce some subjectivity in the data, but also are useful for discovering what is working or not working, enhancing understanding, and testing hypotheses. Qualitative data is often gathered in informal conversations or more formal surveys and focus groups.

Quantitative metrics use values to describe the amount of the characteristic being measured. Some quantitative questions might be: (1) by what percentage did final evaluation scores improve; (2) what percentage of trainees performed successfully in the field; (3) how long did it take to make the improvements; and (4) what did it cost? Quantitative data is objective. It can't be argued that a 20 percent increase is greater than a 10 percent increase. Quantitative metrics require good record-keeping.

Monitoring and Evaluation

As Bamberger and Hewitt (1986) have stated: "**Monitoring** takes place while a project is being implemented, with the aim of improving the project design and functioning while the change work is in progress. Bamberger and Hewitt define monitoring as: "an internal project activity designed to provide constant feedback on the progress of a project, the problems it is facing, and the efficiency with which it is being implemented."

Bamberger and Hewitt define **evaluation** as the study of the outcome of a project. Evaluation may include assessment of changes made, second and third order effects, time required, cost-effectiveness, and so on. For example, if increased Soldier morale was the objective of a project, evaluating project outcomes would likely involve measuring morale as well as related outcomes such as absenteeism, complaints to superior officers regarding other Soldiers, task performance, etc.

Monitoring and evaluation need not be expensive or complicated, but they do need to be planned by stakeholders and leaders. A monitoring and evaluation plan should include qualitative and quantitative measures, a timeline for how often the data will be collected, plans for who will do what in order to obtain the data, a way to record and store the data, a plan for analyzing the data, and a plan for how data might be used to make future improvements.

Evaluation and monitoring systems can be an effective way to

- provide constant feedback on the extent to which the project is achieving set goals

- identify potential problems at an early stage and propose possible solutions
- show need for mid-course corrections
- monitor the accessibility of the project to all sectors of the target population
- evaluate the extent to which the project is able to achieve its general objectives
- provide data for celebrating progress and “small wins”
- provide guidelines for the planning of future projects
- improve project design (i.e., the process of selecting indicators for monitoring is a test of the soundness of project objectives and can lead to improvements in project design)
- incorporate views of stakeholders

Appendix Q

Critical Incident Script

Soldier voice:

Lieutenant Colonel (LTC) Harding was tasked with deactivating a police unit and transitioning to a new one. These highway police were corrupt. They all carried rifles at checkpoints, and would demand baksheesh—or tips—from drivers. They weren't paid well, and many didn't even get their salaries on a regular basis. Their chain of command knew they were getting money this way. In fact, some of that money went to them. Part of Colonel Harding's work was to deactivate the highway police unit, and also to teach Afghan commanders how to treat their policemen better. He wrote the plan at first with his commander's guidance, and the two of them called it the Coalition plan. It was far too complex, the timeline was too short, and it didn't fit the Afghan style of policing. It failed miserably. The Afghans didn't have the leadership and management training to do what the Americans put out for them to do, nor did they want to do it because they were benefiting from the old way of doing things and didn't see how the new plan would help them. It was a recipe for disaster.

[STOPPING POINT 1:]

Discussion question: Given the lack of success with this approach, what would you do next?

Soldier voice:

Colonel Harding decided to start from scratch with a new approach. He spoke with his host nation counterpart, General Mateen, in order to seed some ideas, and also made sure that his counterpart realized that he would get to maintain control of the mission. Mateen wasn't on board at first because he thought the Coalition was going to take away all his troops. Colonel Harding would ask him questions like, "What is your vision of what you want your police force to be?" Then he'd compliment General Mateen for what he already did well. For example General Mateen was an excellent tactician, so Colonel Harding told him how much he was learning from him. Colonel Harding would ask: "What is your ideal? How can we best support you? And Colonel Harding told General Mateen, "I take guidance from you." Colonel Harding needed to coach him on some management issues, like resourcing and budgeting, but made sure to wait until General Mateen truly trusted him. Colonel Harding then gave him advice, but indirectly. "Well, this country does it this way, and this one does it that way. Both have some things in common with your country." General Mateen would then incorporate suggestions he thought would work. It took about six months, but Mateen came up with a plan with Harding's support, and then he executed it well. This was amazing because before, so many of the officers in the police had benefited greatly from the corruption. But now things were much better, because they executed in small phases and made sure no one lost their jobs and that they got paid better. Colonel Harding knew this wasn't one man's work – that a collective discourse about the organization's future was crucial for success. So he encouraged General Mateen to get all the players on board, like the minister of the interior. He knew it would take *all* levels if the new police unit was to be successful.

They were finally working really well together and though this particular mission was successful, Colonel Harding knew that General Mateen was going to have to *delegate* to be truly successful in the long run. General Mateen couldn't handle everything by himself. Building the national police force to be as good as it could be would take a team effort. But the General didn't delegate. At first Colonel Harding would say, "You need to work with your operations officer. Can we meet with him to discuss how he can contribute to the operation?" General Mateen would say yes, but never take Colonel Harding to meet him. Colonel Harding wasn't sure what to make of that, but he felt like they were stuck.

[STOPPING POINT 2:]

Discussion question: Why is the General being resistant and what should Colonel Harding do?

Soldier voice:

Colonel Harding found out General Mateen didn't really have an operations officer and didn't want one. Status is a HUGE value, and he equated being in control of EVERYTHING with how to hold power. Delegation would be a big change in his leadership style. So Colonel Harding decided he needed to SHOW him the benefit by taking him around his guys and showing him how they helped him. Colonel Harding would say: "One commander doesn't have time to do all you need to do, sir. You're too important for this." He'd also ask General Mateen questions so he'd come to his own conclusions, and encouraged him to try delegating bit by bit. He worked really hard to figure out what all his concerns were. It finally came out that General Mateen was afraid his subordinates might try to take over parts of his job. But once he experienced some small successes with delegation and saw how it benefited him and didn't in fact cause him to lose power, he got hooked and was ready to establish an entire operations center. It got to where Colonel Harding wasn't really involved. Two of the General's best officers, a Colonel and a Lieutenant Colonel, started helping him generate plans. He had chosen two really smart guys and so Colonel Harding could fade into the background. He'd check in to see what they needed to help support or sustain their plans. Colonel Harding concluded that sometimes Americans try to be more helpful than they should be instead of supporting their partners so THEY can experience success. In fact, sometimes he thought lack of patience and the American 'take charge' attitude got in the way.

Here's what Colonel Harding later wrote in his notes prior to writing an AAR:

Colonel Harding voice: This deployment was one of my proudest achievements, and I learned many lessons. When we heeded their advice and made it their initiative, really taking time to make it THEIR plan, things fell into place. When they distributed the plan, it was *theirs*, not a Coalition plan. They got the credit. So I went from being this guy who was going to *take away* all the General's troops to someone who built him up so HE could design a modern police force. The conversation changed from "What about this plan can't you deal with?" to "What are your ideas for helping this situation?" We focused on his strengths, solutions and opportunities, with my ideas gently seeded in. We talked about what strategies would help him achieve his goals. At first I was hung up on meeting my own goals, the Coalition goals, but I finally realized the best way to accomplish them was by understanding what would work for the people I was there to serve.

Discussion questions: What lessons did you learn from this critical incident that will be useful for your work? How did LTC Harding use a strengths-based approach to accomplish his goals? What other strategies might LTC Harding have used to influence General Mateen?

Appendix R

Effective and Ineffective Attitudes Worksheet

Effective Attitudes:	Effective Strategies:
Ineffective Attitudes:	Ineffective Strategies: